

**Prison Rape Elimination Act (PREA) Audit Report
Adult Prisons & Jails**

Interim Final

Date of Interim Audit Report: 10/20/2020 N/A

If no Interim Audit Report, select N/A

Date of Final Audit Report: 11/20/2020

Auditor Information

Name: Sonya Love

Email: sonya.love57@outlook.com

Company Name: Diversified Consultant Services

Mailing Address: P.O. Box 452

City, State, Zip: Blackshear, Georgia 31516

Telephone: (678) 200-3446

Date of Facility Visit: July 15-16, 2020

Agency Information

Name of Agency: Indiana Department of Correction

Governing Authority or Parent Agency (If Applicable): [Click or tap here to enter text.](#)

Physical Address: 5124 W. Reformatory

City, State, Zip: Pendleton, IN 46064

Mailing Address: 5124 W. Reformatory

City, State, Zip: Pendleton, IN 46064

The Agency Is:

Military

Private for Profit

Private not for Profit

Municipal

County

State

Federal

Agency Website with PREA Information: [Click or tap here to enter text.](#)

Agency Chief Executive Officer

Name: Robert Carter

Email: RoCarter1@idoc.in.gov

Telephone: 3172335541

Agency-Wide PREA Coordinator

Name: Bryan Pearson

Email: BPearson@idoc.in.gov

Telephone: 8125268273

PREA Coordinator Reports to:

Executive Director of Adult Facilities

Number of Compliance Managers who report to the PREA Coordinator:

21

Facility Information

Name of Facility: Correctional Industrial Facility

Physical Address: 5124 W. Reformatory

City, State, Zip: Pendleton, IN 46064

Mailing Address (if different from above):
Click or tap here to enter text.

City, State, Zip: Click or tap here to enter text.

The Facility Is:

Military

Private for Profit

Private not for Profit

Municipal

County

State

Federal

Facility Type:

Prison

Jail

Facility Website with PREA Information: IDOC.GOV

Has the facility been accredited within the past 3 years? Yes No

If the facility has been accredited within the past 3 years, select the accrediting organization(s) – select all that apply (N/A if the facility has not been accredited within the past 3 years):

ACA

NCCHC

CALEA

Other (please name or describe: Click or tap here to enter text.)

N/A

If the facility has completed any internal or external audits other than those that resulted in accreditation, please describe:

Click or tap here to enter text.

Warden/Jail Administrator/Sheriff/Director

Name: Wendy Knight

Email: WKnight@idoc.in.gov

Telephone: 765-778-8011

Facility PREA Compliance Manager

Name: Alison Yancey

Email: AYancey@idoc.in.gov

Telephone: 765-778-8011

Facility Health Service Administrator N/A

Name: Stephanie Grubbs

Email: Stephanie Grubbs@wexfordindiana.com	Telephone: 765-778-8011
Facility Characteristics	
Designated Facility Capacity:	1495
Current Population of Facility:	1464
Average daily population for the past 12 months:	1461
Has the facility been over capacity at any point in the past 12 months?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Which population(s) does the facility hold?	<input type="checkbox"/> Females and Males <input checked="" type="checkbox"/> Males <input type="checkbox"/> Both Females and Males
Age range of population:	18-72
Average length of stay or time under supervision:	790 days
Facility security levels/inmate custody levels:	2/3
Number of inmates admitted to facility during the past 12 months:	933
Number of inmates admitted to facility during the past 12 months whose length of stay in the facility was for 72 hours or more:	933
Number of inmates admitted to facility during the past 12 months whose length of stay in the facility was for 30 days or more:	677
Does the facility hold youthful inmates?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Number of youthful inmates held in the facility during the past 12 months: (N/A if the facility never holds youthful inmates)	Click or tap here to enter text. <input checked="" type="checkbox"/> N/A
Does the audited facility hold inmates for one or more other agencies (e.g. a State correctional agency, U.S. Marshals Service, Bureau of Prisons, U.S. Immigration and Customs Enforcement)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Select all other agencies for which the audited facility holds inmates: Select all that apply (N/A if the audited facility does not hold inmates for any other agency or agencies):	<input type="checkbox"/> Federal Bureau of Prisons <input type="checkbox"/> U.S. Marshals Service <input type="checkbox"/> U.S. Immigration and Customs Enforcement <input type="checkbox"/> Bureau of Indian Affairs <input type="checkbox"/> U.S. Military branch <input checked="" type="checkbox"/> State or Territorial correctional agency <input type="checkbox"/> County correctional or detention agency <input type="checkbox"/> Judicial district correctional or detention facility <input type="checkbox"/> City or municipal correctional or detention facility (e.g. police lockup or city jail) <input type="checkbox"/> Private corrections or detention provider

	<input type="checkbox"/> Other - please name or describe: Click or tap here to enter text. <input type="checkbox"/> N/A
Number of staff currently employed by the facility who may have contact with inmates:	303
Number of staff hired by the facility during the past 12 months who may have contact with inmates:	104
Number of contracts in the past 12 months for services with contractors who may have contact with inmates:	65
Number of individual contractors who have contact with inmates, currently authorized to enter the facility:	65
Number of volunteers who have contact with inmates, currently authorized to enter the facility:	188
Physical Plant	
Number of buildings: Auditors should count all buildings that are part of the facility, whether inmates are formally allowed to enter them or not. In situations where temporary structures have been erected (e.g., tents) the auditor should use their discretion to determine whether to include the structure in the overall count of buildings. As a general rule, if a temporary structure is regularly or routinely used to hold or house inmates, or if the temporary structure is used to house or support operational functions for more than a short period of time (e.g., an emergency situation), it should be included in the overall count of buildings.	14
Number of inmate housing units: Enter 0 if the facility does not have discrete housing units. DOJ PREA Working Group FAQ on the definition of a housing unit: How is a "housing unit" defined for the purposes of the PREA Standards? The question has been raised in particular as it relates to facilities that have adjacent or interconnected units. The most common concept of a housing unit is architectural. The generally agreed-upon definition is a space that is enclosed by physical barriers accessed through one or more doors of various types, including commercial-grade swing doors, steel sliding doors, interlocking sally port doors, etc. In addition to the primary entrance and exit, additional doors are often included to meet life safety codes. The unit contains sleeping space, sanitary facilities (including toilets, lavatories, and showers), and a dayroom or leisure space in differing configurations. Many facilities are designed with modules or pods clustered around a	7

<p>control room. This multiple-pod design provides the facility with certain staff efficiencies and economies of scale. At the same time, the design affords the flexibility to separately house inmates of differing security levels, or who are grouped by some other operational or service scheme. Generally, the control room is enclosed by security glass, and in some cases, this allows inmates to see into neighboring pods. However, observation from one unit to another is usually limited by angled site lines. In some cases, the facility has prevented this entirely by installing one-way glass. Both the architectural design and functional use of these multiple pods indicate that they are managed as distinct housing units.</p>	
<p>Number of single cell housing units:</p>	<p>1</p>
<p>Number of multiple occupancy cell housing units:</p>	<p>5</p>
<p>Number of open bay/dorm housing units:</p>	<p>1</p>
<p>Number of segregation cells (for example, administrative, disciplinary, protective custody, etc.):</p>	<p>65</p>
<p>In housing units, does the facility maintain sight and sound separation between youthful inmates and adult inmates? (N/A if the facility never holds youthful inmates)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A</p>
<p>Does the facility have a video monitoring system, electronic surveillance system, or other monitoring technology (e.g. cameras, etc.)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Has the facility installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology in the past 12 months?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>Medical and Mental Health Services and Forensic Medical Exams</p>	
<p>Are medical services provided on-site?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Are mental health services provided on-site?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Where are sexual assault forensic medical exams provided? Select all that apply.</p>	<p><input type="checkbox"/> On-site <input checked="" type="checkbox"/> Local hospital/clinic <input type="checkbox"/> Rape Crisis Center <input type="checkbox"/> Other (please name or describe: Click or tap here to enter text.)</p>

Investigations

Criminal Investigations

Number of investigators employed by the agency and/or facility who are responsible for conducting CRIMINAL investigations into allegations of sexual abuse or sexual harassment:	3
When the facility received allegations of sexual abuse or sexual harassment (whether staff-on-inmate or inmate-on-inmate), CRIMINAL INVESTIGATIONS are conducted by: Select all that apply.	<input checked="" type="checkbox"/> Facility investigators <input type="checkbox"/> Agency investigators <input type="checkbox"/> An external investigative entity
Select all external entities responsible for CRIMINAL INVESTIGATIONS: Select all that apply (N/A if no external entities are responsible for criminal investigations)	<input type="checkbox"/> Local police department <input type="checkbox"/> Local sheriff's department <input type="checkbox"/> State police <input type="checkbox"/> A U.S. Department of Justice component <input type="checkbox"/> Other (please name or describe: Click or tap here to enter text.) <input checked="" type="checkbox"/> N/A

Administrative Investigations

Number of investigators employed by the agency and/or facility who are responsible for conducting ADMINISTRATIVE investigations into allegations of sexual abuse or sexual harassment?	3
When the facility receives allegations of sexual abuse or sexual harassment (whether staff-on-inmate or inmate-on-inmate), ADMINISTRATIVE INVESTIGATIONS are conducted by: Select all that apply	<input checked="" type="checkbox"/> Facility investigators <input checked="" type="checkbox"/> Agency investigators <input type="checkbox"/> An external investigative entity
Select all external entities responsible for ADMINISTRATIVE INVESTIGATIONS: Select all that apply (N/A if no external entities are responsible for administrative investigations)	<input type="checkbox"/> Local police department <input type="checkbox"/> Local sheriff's department <input type="checkbox"/> State police <input type="checkbox"/> A U.S. Department of Justice component <input type="checkbox"/> Other (please name or describe: Click or tap here to enter text.) <input checked="" type="checkbox"/> N/A

Audit Findings

Audit Narrative (including Audit Methodology)

The auditor's description of the audit methodology should include a detailed description of the following processes during the pre-onsite audit, onsite audit, and post-audit phases: documents and files reviewed, discussions and types of interviews conducted, number of days spent on-site, observations made during the site-review, and a detailed description of any follow-up work conducted during the post-audit phase. The narrative should describe the techniques the auditor used to sample documentation and select interviewees, and the auditor's process for the site review.

Pre-audit preparation

The standards used for this audit became effective August 20, 2012. An internet search confirmed that Correctional Industries Facility (CIF) 2016 final PREA report was posted on the agency and facility website on August 26, 2016. Further, in reviewing the IDOC website the Auditor found the following PREA related information:

IDOC SEXUAL ABUSE AND SEXUAL HARASSMENT REPORTS

To report an incident of sexual abuse or sexual harassment on behalf of an inmate please call (877) 385-5877 or email IDOCPREA@idoc.in.gov

Reporting parties please note the following:

- The allegation will be discussed with the victim named in the report
- The allegation will be disclosed only to those who need to know to ensure victim safety and to investigate the allegation
- Please include the following information, if known, when reporting sexual abuse or sexual harassment:
 - Date of the alleged incident.
 - Victim's name and DOC number and facility
 - All alleged perpetrators names and DOC numbers
 - Location of alleged incident
 - Any other information provided regarding the incident

*For more information on the Prison Rape Elimination Act (PREA) visit: www.prearesourcecenter.org

IDOC SURVEY of SEXUAL VIOLENCE REPORTS

- Survey of Sexual Victimization Reports, 2011-2018

IDOC AGENCY ANNUAL REPORT

- Annual reports, 2013-2018

Indiana Ombudsman Bureau

The IDOC Indiana Ombudsman Bureau was created by the legislature in the fall of 2003. Per IC 4-13-1.2-1 through 4-13-1.2-12. The Bureau is charged with the responsibility of receiving, investigating, and attempting to resolve complaints from offenders housed in DOC facilities or offenders' family members that the DOC accuses of violating a specific law, rule, department written policy or endangered the health or safety of a person. The director of the bureau was appointed by the Governor in May 2005. The Ombudsman Bureau reviews complaints from inmates across the state and provides recommendations to the IDOC for resolution. The Ombudsman Bureau completes a monthly report of substantiated complaints which includes an overview of monthly activity and any follow-up if necessary. The Lead Auditor found an unrelated PREA complaint dated November 2018 from an inmate at Indiana State Prison, regarding classification.

The notifications of the audit were posted in the facility at least six weeks prior to the on-site audit; photographs were taken and submitted to the Auditor. The facility completed the Pre-Audit Questionnaire and uploaded supporting documentation. Correspondence with the PREA Coordinator and PREA Compliance Manager took place throughout the audit process. The Auditor was provided access to all PREA related documents and files.

Local and National Victim Advocacy

The Indiana Coalition Against Domestic Violence: 800-332-7385

National Domestic Violence Hotline: 800-799-7233 TTY 800-787-3224
<http://www.thehotline.org/>

National Suicide Prevention Lifeline: 800-273-8255 TTY 800-799-4889
<https://suicidepreventionlifeline.org/>

National Sexual Assault Hotline: 800-656-4673
<https://www.rainn.org/> *24/7 Live Chat*

National Child Abuse Hotline: 800-422-4453
<https://www.childhelp.org/hotline/>

Inmate Handbook

An examination of the inmate handbook revealed that CIF inmate education includes information about:

- Mental Health Services and how to access the service
- Education: Academic and technical training provided at most facilities
- Access to law libraries that may be used for legal research
- Substance abuse: Programming is available in all facilities

- Education: Educational and treatment programs for inmate victims of sexual abuse and inmates with a history of abusiveness, either during a current commitment or previously.
- Telephone calls will be monitored and recorded, apart from calls to your attorney or legal representative.
- Inmates may have access to legal representatives, including consular officials, and the courts to the extent required by statute, treaty, court order, rule, or policy
- Sexual Assault Prevention and Reporting
- Offender Grievance Process

Pre-Audit Questionnaire (PAQ)

The Auditor completed a document review of the CIF Pre-Audit Questionnaire (PAQ), applicable policies, procedures, program statements and supplemental information. Telephone calls and emails were exchanged between the PREA Coordinator, PREA Compliance Manager and the Lead Auditor.

Documentation request:

The following documentation was requested for the onsite visit:

- Roster of inmates by unit
- Roster of inmates with disabilities
- Roster of inmates who were Limited English Proficient (LEP)
- LGBTI inmates
- Inmates who reported sexual abuse
- Inmates who reported sexual victimization during risk screening
- Staff roster by shifts
- Specialized staff roster
- Inmate census the first day of the audit
- A roster of new employees hired in the past 12 months
- Staffing Plan
- Unannounced institutional rounds
- List of contact information for volunteers
- SANE/SAFE point of contact information
- Copies of training acknowledgments for volunteers and contractors

The Auditor contacted Just Detention International (JDI) to determine if inmates, family, or friends contacted the organization regarding sexual abuse safety issues at the facility.

JDI indicated zero correspondence from inmate assigned to Correctional Industries Facility in the last year.

Entrance Briefing and Tour (On-site Audit)- First day

The site portion of the audit began July 15-16, 2020. Prior to the site review the Auditor conducted a day of virtual interviews on July 8, 2020 with specialized staff due to active

quarantines in place and out of an abundance of caution given the severity of the Corona pandemic. The on-site review was conducted by Sonya Love, certified PREA Auditor.

A meeting took place with management staff to outline the auditor's sampling strategy, logistics for the facility tour, the interview schedule and to discuss the need to review additional directives, policies, and supplemental documents. The Auditor was provided a private room in which to work and interview staff and inmates.

NARRATIVE

The Correctional Industrial Facility (CIF) is located at 5124 W. Reformatory Road, Pendleton, Indiana 46064. CIF is participating in a Prison Rape Elimination Act (PREA) audit conducted by a certified Auditor from the Diversified Consultant Services. The on-site portion of the audit was conducted at the address stated above during the period of July 15-16, 2020. Following telephone and email communication with the agency PREA Coordinator and facility PREA Compliance Manager, review of documents using the Synciplicity virtual platform pre-audit preparation was completed prior to onsite portion of the audit.

ON-SITE/VITURAL PHASE

The following interviews took place employing a virtual platform:

Specialized Staff

- Intermediate or higher-level facility staff
- Medical staff
- Mental health staff
- Administrative staff
- SANE hospital representative
- Contractors (Aramark) (Wexford)
- Investigative staff
- Staff who perform screening for risk victimization and abusiveness
- Staff who supervise inmates in segregated housing
- Staff on the incident review team
- Designated staff member charged with monitoring retaliation
- First responder (security)
- First responder (non-security)
- Intake staff
- PREA Compliance Manager

On-site Review

The Auditor conducted a site review of the facility. The PREA Coordinator, PREA Compliance Manager and Major escorted the Auditor. The team toured every housing units except the quarantine units. The facility tour included a site review of medical, mental health, the main kitchen, the warehouse, intake processing area, the laundry, main control, all maintenance

shops, industries areas, education, outside recreation, gym, and chapel. The Auditor tested dayrooms telephones for access to outside reporting sexual abuse or harassment and access to outside advocacy organization

Furthermore, during the tour the Auditor noted placement of camera, potential blind spots, staff and inmate ratios, coverage of surveillance cameras, inspected inmate bathrooms and showers to identify potential concerns with privacy and any potential for opposite cross-gender viewing of inmates. The telephone system was randomly tested for. PREA related informational posters were prominently posted near the telephones for easy viewing.

Corrections were required for:

- Laundry door
- Laundry Storage Closet Door
- Medical Office Door
- Recreation Yard Toilet #1
- Recreation Yard Toilet #2
- Urinal divider

Facility Characteristics

The auditor's description of the audited facility should include details about the facility type, demographics and size of the inmate, inmates or detainee population, numbers and type of staff positions, configuration and layout of the facility, numbers of housing units, description of housing units including any special housing units, a description of programs and services, including food service and recreation. The auditor should describe how these details are relevant to PREA implementation and compliance.

The **Correctional Industrial Facility**, otherwise known as the CIF, is an [Indiana Department of Corrections](#) prison located in [Fall Creek Township](#), [Madison County](#), near [Pendleton](#).^[1] It is a medium-security prison. As of 2019, the prison housed 1,471 inmates, and employed 307 staff.^[2] Constructed in 1985, CIF formerly housed the Indiana Department of Correction's PEN food products plant. However, the food products plant was replaced by a brake refurbishing factory in partnership with the industrial company Meritor, which is the largest employer of inmates in the facility. Wendy Knight is the current Warden of CIF.

The Correctional Industrial Facility is located directly beside the maximum security [Pendleton Correctional Facility]. The institution contains administrative, industrial and education buildings. CIF does not have individual cells, it has mostly two-man rooms; inmates are housed in six housing units which together hold up to 1,416 inmates.

Programs

The Indiana Department of Correction offers a wide selection of programming, courses, and activities based on both facility and inmate need, as well as available resources. Listed below are several current programming opportunities available at the facility. While some are led by staff, many are volunteer driven.

Summary of Audit Findings

The summary should include the number and list of standards exceeded, number of standards met, and number and list of standards not met.

Auditor Note: No standard should be found to be “Not Applicable” or “NA”. A compliance determination must be made for each standard.

Standards Exceeded

Number of Standards Exceeded: Click or tap here to enter text.

List of Standards Exceeded: Click or tap here to enter text.

Standards Met

Number of Standards Met: 44

Standards Not Met

Number of Standards Not Met: Click or tap here to enter text.

List of Standards Not Met: Click or tap here to enter text.

PREVENTION PLANNING

Standard 115.11: Zero tolerance of sexual abuse and sexual harassment; PREA coordinator

All Yes/No Questions Must Be Answered by The Auditor to Complete the Report

115.11 (a)

- Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment? Yes No
- Does the written policy outline the agency’s approach to preventing, detecting, and responding to sexual abuse and sexual harassment? Yes No

115.11 (b)

- Has the agency employed or designated an agency wide PREA Coordinator? Yes No
- Is the PREA Coordinator position in the upper level of the agency hierarchy? Yes No
- Does the PREA Coordinator have sufficient time and authority to develop, implement,

and oversee agency efforts to comply with the PREA standards in all of its facilities?

Yes No

115.11 (c)

- If this agency operates more than one facility, has each facility designated a PREA compliance manager? (N/A if agency operates only one facility.) Yes No NA
- Does the PREA compliance manager have sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards? (N/A if agency operates only one facility.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Indiana Department of Corrections (IDOC) has a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment outlined in Policy 02-01-115.

A review of the organization chart and memo identifies that a PREA Coordinator and Compliance Manager has been designated. Moreover, Indiana Department of Correction (IDOC) has a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment that is outlined in Policy 02-01-115, Sexual Abuse Prevention. The Sexual Abuse Prevention Policy details the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment allegations. The agency has designated a statewide PREA Coordinator.

The Executive Director of PREA/PREA Coordinator is a positioned in the upper level of the IDOC hierarchy. During his interview, the PREA Coordinator confirmed having sufficient time and authority to develop, implement, and oversee agency efforts to comply with the PREA

standards in all its facilities. Moreover, the interview also confirmed that the PREA Coordinator was highly organized and extremely knowledgeable of the requirements for PREA.

The Correctional Industrial Facility has designated a PREA Compliance Manager to ensure adherence to all standards outlined in the Prison Rape Elimination Act (PREA). The Institutional PREA Compliance Manager (PCM) reports to the Warden for all things related to custody management of inmates. The facility organizational chart confirmed that the PCM reports directly to the Warden for matters such as PREA retaliation monitoring, PREA incident reviews, PREA recommendations and issues of PREA compliance. The current PCM was appointed on April 1, 2019.

During her interview, the PREA Compliance Manager demonstrated a working knowledge of PREA standards and she clearly outlined how Correctional Industrial Facility implemented and monitored PREA at the facility level. Further, the PREA Compliance Manager confirmed that she utilizes a PREA Working Committee to maintain compliance with each standard. Additionally, the PREA Compliance Manager also confirmed that she has sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards. The PCM indicated that she has an exceptionally good working relationship with security managers and staff which makes her job as PCM pleasurable.

During the facility tour the Auditor took note of zero tolerance posters displayed in English and Spanish throughout the facility including all living units. Correctional Industrial Facility meets the requirements of Standard 115.11.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 (Sexual Abuse Prevention)
- Correctional Industrial Facility Organizational Chart
- Interview with the PREA Coordinator (Executive Director)
- Interview with the Warden
- Interview with the PREA Compliance Manager
- Warden Memorandum: Dated April 1, 2019 appointing a PREA Compliance Manager for Correctional Industrial Facility.

Standard 115.12: Contracting with other entities for the confinement of inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.12 (a)

- If this agency is public and it contracts for the confinement of its inmates with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract

or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.) Yes
 No NA

115.12 (b)

- Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure that the contractor is complying with the PREA standards? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

The agency has 7 contracts. All applicable contractors are required to adopt and comply with PREA standards. All new contracts or contract renewals signed on or after August 20, 2012 provide for IDOC monitoring to ensure that the contractor is complying with the PREA standards, CIF met the requirements of Standard 115.12.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Sexual Abuse Prevention 02-01-115
- Interview with PREA Coordinator
- Interview with the agency Contract Administrator
- IDOC sample uploads of contracts, GEO Group
- IDOC sample uploads of contracts, Crain House
- IDOC sample uploads of contracts, Bartholomew County

Standard 115.13: Supervision and monitoring

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.13 (a)

- Does the facility have a documented staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse?
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Generally accepted detention and correctional practices? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any judicial findings of inadequacy? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from Federal investigative agencies? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from internal or external oversight bodies? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: All components of the facility's physical plant (including "blind-spots" or areas where staff or inmates may be isolated)? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The composition of the inmate population? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The number and placement of supervisory staff? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The institution programs occurring on a shift

Yes No NA

- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any applicable State or local laws, regulations, or standards? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The prevalence of substantiated and unsubstantiated incidents of sexual abuse? Yes No
- In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any other relevant factors? Yes No

115.13 (b)

- In circumstances where the staffing plan is not complied with, does the facility document and justify all deviations from the plan? (N/A if no deviations from staffing plan.)
 Yes No NA

115.13 (c)

- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section? Yes No
- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The facility's deployment of video monitoring systems and other monitoring technologies? Yes No
- In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The resources the facility has available to commit to ensure adherence to the staffing plan? Yes No

115.13 (d)

- Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment? Yes No
- Is this policy and practice implemented for night shifts as well as day shifts? Yes No

- Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention confirmed that the agency has a documented policy that mandates the development and annual review of a facility staffing plan. The staffing plan provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse.

The Correctional Industrial Facility (CIF) currently has 368 positions assigned to the facility: 295 Custody, 37 Administrative, and 36 Program positions.

The PREA Coordinator confirmed during his interview that he consults with CIF and the PREA Compliance Manager in the review of the facility staffing plan. The PREA Compliance Manager in her role coordinates the assessed, determined, and documented whether adjustments are needed reviews, approves, and will make recommendations when necessary for Correctional Industrial Facility at least annually. Policy 02-01-115, Sexual Abuse Prevention indicates that the staffing plan shall be reviewed, updated, and submitted to the assigned Executive Director of Adult Facilities, Executive Director of Youth Services, and Executive Director of PREA annually, no later than January 31 of each year.

The Auditor was provided a 2020 Staffing Plan dated 1/15/2020, that included considerations such as a Master Roster Post Analysis, vacancy rates, the composition of the inmate population, generally accepted detention and correctional practices, any findings of inadequacy from internal or external oversight bodies, components of the facility's physical plant including "blind-spots" or areas where staff or inmates may be isolated. Custody posts are determined by the Indiana Department of Correction Master Roster Post Analysis. The

Master Roster Post Analysis was last prepared in August 2019. According to the 2020 Staffing Report for CIF, the Warden, Deputy Warden of Operations, Major, and Utility Captain all monitor post assignments and vacancy rates to ensure safety and security issues are being address in a timely manner. The PREA Coordinator confirmed that he received the CIF staffing plan.

IDOC uses American Correctional Association (ACA) standards and principles of the Indiana Justice Model in their correctional practices. It should be noted that CIF received a finding of inadequacy during the most recent ACA audit for non-compliance of employee vacancy percentages. CIF proposed corrective action included development of a full-time position (Sergeant) to coordinate recruiting activities as well as the established bi-monthly job fairs and open interview days every week. Recruiting efforts are supported by a new position created in 2018, Recruitment & Retention Coordinator. The facilities and the R&R Coordinator collaborate on recruiting activities. CIF also augments recruitment efforts with military and veteran job fairs, and partnerships with local Department of Workforce Development Offices. The Correctional Industrial Facility has a social media presence and posts career opportunities on Facebook.

Unannounced rounds conducted at CIF are documented by Unit Managers and intermediate-level or higher-level supervisors in each unit logbook as well as the Duty Officer Logbook. During interviews with intermediate-level or higher-level supervisors who conduct unannounced rounds the Auditor confirmed that logistics or timing of unannounced rounds were random, and the timing or route taken during unannounced rounds was not discussed with staff in advance.

Random unannounced rounds from January 2020, November 2019, December 2019 were selected and examined by the Auditor for compliance. The facility operates 24 hours and unannounced rounds were documented for all three shifts to include night shift. The Auditor found that PREA rounds were documented for night shift as well as day shift by members of management in accordance with this standard.

In 2019, CIF reported PREA incidents in the following categories: (2) substantiated (6) unsubstantiated (2) Unfounded and (2) ongoing investigations of sexual abuse. Correctional Industrial Facility met the requirements of Standard 115.13.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- 2020 Annual Staffing Plan
- 2019 Annual Staffing Plan
- Post Justifications/Post Analysis
- SART Employee List
- Policy 02-01-115, Sexual Abuse Prevention
- Auditor review of files of unannounced rounds
- Interviews with the PREA Coordinator

- Interview with the Compliance Manager
- Interviews with staff (random)

Corrective Action:

The Auditor could not determine if in the past 12 months, the facility has, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section was not signed by the Warden nor PREA Coordinator. The facility will provide the Auditor with signed copies of the 2019 and 2020 Staffing Plans for CIF. After corrective action CIF met the requirements of Standard 115.13.

Standard 115.14: Youthful inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.14 (a)

- Does the facility place all youthful inmates in housing units that separate them from sight, sound, and physical contact with any adult inmates through use of a shared dayroom or other common space, shower area, or sleeping quarters? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

115.14 (b)

- In areas outside of housing units does the agency maintain sight and sound separation between youthful inmates and adult inmates? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA
- In areas outside of housing units does the agency provide direct staff supervision when youthful inmates and adult inmates have sight, sound, or physical contact? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

115.14 (c)

- Does the agency make its best efforts to avoid placing youthful inmates in isolation to comply with this provision? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA
- Does the agency, while complying with this provision, allow youthful inmates daily large-muscle exercise and legally required special education services, except in exigent circumstances? (N/A if facility does not have youthful inmates [inmates <18 years old].) Yes No NA

- Do youthful inmates have access to other programs and work opportunities to the extent possible? (N/A if facility does not have youthful inmates [inmates <18 years old].)
 Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor’s analysis and reasoning, and the auditor’s conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

CIF does not house youthful offenders. CIF met the requirements of Standard 115.14.

Standard 115.15: Limits to cross-gender viewing and searches

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.15 (a)

- Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners? Yes No

115.15 (b)

- Does the facility always refrain from conducting cross-gender pat-down searches of female inmates, except in exigent circumstances? (N/A if the facility does not have female inmates.)
 Yes No NA
- Does the facility always refrain from restricting female inmates’ access to regularly available programming or other out-of-cell opportunities to comply with this provision? (N/A if the facility does not have female inmates.) Yes No NA

115.15 (c)

- Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches? Yes No
- Does the facility document all cross-gender pat-down searches of female inmates? (N/A if the facility does not have female inmates.) Yes No NA

115.15 (d)

- Does the facility have policies that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks? Yes No
- Does the facility have procedures that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks? Yes No
- Does the facility require staff of the opposite gender to announce their presence when entering an inmate housing unit? Yes No

115.15 (e)

- Does the facility always refrain from searching or physically examining transgender or intersex inmates for the sole purpose of determining the inmate's genital status? Yes No
- If an inmate's genital status is unknown, does the facility determine genital status during conversations with the inmate, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner? Yes No

115.15 (f)

- Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs? Yes No
- Does the facility/agency train security staff in how to conduct searches of transgender and intersex inmates in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-03-101, Searches and Shakedown and Policy 02-10-118, Transgender and Intersex Inmates, address the requirements in Standard 115.15.

Policy 02-03-101 indicates that "...except during an emergency as declared by the Warden or designee, a strip search must afford the inmate reasonable privacy and shall be conducted by staff of the same gender.

Opposite gender strip searches of an inmate shall not be conducted unless the opposite gender staff member, in his/her professional judgment, has reasonable cause to believe that a delay in retrieving possible prohibited property would jeopardize the safety, order, and/or security of the facility. If a strip search is conducted by an opposite gender staff member, the strip search shall be documented on an Incident Report and submitted to the Custody Supervisor or designee."

According to the PREA Compliance Manager, the inmate shall be placed on the facility PREA Compliance Manager's tracking mechanism for LGBTI inmates and ensure an initial placement and programming assessment, with subsequent reassessments, are conducted every six (6) months in accordance with Policy and Administrative Procedure 02-01-115, "Sexual Abuse Prevention."

Staff (random and specialized) were able to describe the facility requirements for searching based on random staff interviews. There were twelve (12) random staff interviews conducted. Twelve (12) random staff training files also were examined. The training files indicate that all staff received training on the facility policy that prohibits cross-gender strip searches, cross-gender visual body cavity searches, and cross-gender pat-down searches to be conducted except in exigent circumstances. Correctional Industrial Facility met the requirements of Standard 115.15.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 (Sexual Abuse Prevention)
- Review of Policy 02-03-101 (Searches and Shakedowns)
- Review of Policy 02-01-118 (Transgender and Intersex Inmates)
- Training: Security skills refresher evaluation
- Training: Strip and Cavity Searches
- Training sign in sheets and curriculum
- Review of the inmate handbook
- Memorandum: From the Warden regarding zero incidents of cross-gender strip searches or body cavity searches in the past 12 months.
- Interview with inmates (random and targeted)
- Interview with staff (random and specialized)
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Observations of Auditor during the on-site portion of the audit

Standard 115.16: Inmates with disabilities and inmates who are limited English proficient

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.16 (a)

- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are deaf or hard of hearing? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are blind or have low vision? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have intellectual disabilities? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have psychiatric disabilities? Yes No

- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have speech disabilities? Yes No
- Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Other (if "other," please explain in overall determination notes)? Yes No
- Do such steps include, when necessary, ensuring effective communication with inmates who are deaf or hard of hearing? Yes No
- Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have intellectual disabilities? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have limited reading skills? Yes No
- Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Are blind or have low vision? Yes No

115.16 (b)

- Does the agency take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient? Yes No
- Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary? Yes No

115.16 (c)

- Does the agency always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention supports Standard 115.16. Intake staff sampled during the audit confirmed that PREA education is provided in verbal and written formats. The Auditor determined by examination that IDOC takes reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment of inmates who are limited English proficient (LEP). IDOC/Correctional Industrial Facility has an on-going contract with a vendor to provide interpretive assistance to aid inmates in communicating effectively who are limited English proficient.

The vendor, Lingualinx employs interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary. The interpretive services provided by Lingualinx are available 24 hours a day.

During staff random interviews (100%) of participants sampled confirmed that they always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations. There were zero disabled inmates interviewed during this audit. Three (3) inmates from the targeted group (LEP) were interviewed during the audit. Each confirmed receiving PREA education in a format they understood. Correctional Industrial Facility met the requirements of Standard 115.16.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy Lingualinx (Telephonic and In Person Interpretive Service)
- Over-the-phone instruction card for staff
- Policy 02-01-115 (Sexual Abuse Prevention)

- Interview with staff (random and specialized)
- Interview with inmates (random and targeted)
- Interview with the PREA Coordinator
- Review of various forms translated into Spanish to include PREA related information
- Auditor's observations during the facility tour

Standard 115.17: Hiring and promotion decisions

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.17 (a)

- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?
 Yes No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse? Yes No
- Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse? Yes No
- Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the question immediately above? Yes No

115.17 (b)

- Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with inmates? Yes No
- Does the agency consider any incidents of sexual harassment in determining whether to enlist the services of any contractor who may have contact with inmates? Yes No

115.17 (c)

- Before hiring new employees, who may have contact with inmates, does the agency perform a criminal background records check? Yes No
- Before hiring new employees who may have contact with inmates, does the agency, consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse? Yes No

115.17 (d)

- Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates? Yes No

115.17 (e)

- Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with inmates or have in place a system for otherwise capturing such information for current employees? Yes No

115.17 (f)

- Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions? Yes No
- Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees? Yes No
- Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct? Yes No

115.17 (g)

- Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination? Yes No

115.17 (h)

- Does the agency provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work? (N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 04-03-102, Human Resources and Policy 04-03-103, Information and Standards of Conduct for Departmental Staff, prohibits the hiring or promotion of anyone who may have contact with inmates, and prohibits enlisting the services of any contractor who may have contact with inmates, who: Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997) addresses the policy requirements of Standard 115.17.

Indiana Department of Corrections has a policy that requires criminal background records checks be conducted at least every five years on current employees and contractors who may have contact with inmates. Policy 04-03-103 supports compliance of the standard. Policy 04-03-103, Information and Standards of Conduct for Departmental Staff was reviewed by the Auditor. Additionally, IDOC provided the Auditor with a blank copy of applicant employment questionnaire for her review.

The Human Resource Manager (HRM) representative was interviewed during the audit. The HRM representative confirmed that the agency prohibits the hiring or promotion of anyone who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse.

IDOC considers material omissions regarding such misconduct, or the provision of materially false information, grounds for termination. The PREA Coordinator confirmed in an interview that IDOC asks all applicants and employees who may have contact with inmates directly about previous misconduct during the interview process or written self-evaluations conducted as part of reviews of current employees performance evaluations.

Furthermore, the PREA Coordinator affirmed the agency imposes upon employees a continuing affirmative duty to disclose any such misconduct and he also provided evidence in the form of the employment application form for the Indiana Department of Corrections. The PCM confirmed during her interview that IDOC prohibits the enlistment of services of any contractor who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution. The facility met the requirements of Standard 115.17.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 04-03-103 (Information and Standards of Conduct for Department Staff)
- Policy 02-01-115 (Sexual Abuse Prevention)
- Interviews with staff (random and specialized)
- Interview with Human Resources Manager Representative
- Sample of potential employee application form
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Review of IDOC Applicant Questionnaire

Standard 115.18: Upgrades to facilities and technologies

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.18 (a)

- If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency’s ability to protect inmates from sexual abuse? (N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.) Yes No NA

115.18 (b)

- If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Correctional Industrial Facility has not made modifications to the existing facility. Correctional Industrial Facility met the requirements of Standard 115.18.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Observations of the Auditor during the on-site tour
- Interviews with staff (random and specialized)
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- 02-01-115 (Sexual Abuse Prevention)
- Interview with the Warden

RESPONSIVE PLANNING

Standard 115.21: Evidence protocol and forensic medical examinations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.21 (a)

- If the agency is responsible for investigating allegations of sexual abuse, does the agency follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA

115.21 (b)

- Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA
- Is this protocol, as appropriate, adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.) Yes No NA

115.21 (c)

- Does the agency offer all victims of sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate? Yes No
- Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible? Yes No
- If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)? Yes No
- Has the agency documented its efforts to provide SAFEs or SANEs? Yes No

115.21 (d)

- Does the agency attempt to make available to the victim a victim advocate from a rape crisis center? Yes No
- If a rape crisis center is not available to provide victim advocate services, does the agency make available to provide these services a qualified staff member from a community-based organization, or a qualified agency staff member? (N/A if the agency *a/ways* makes a victim advocate from a rape crisis center available to victims.) Yes No NA
- Has the agency documented its efforts to secure services from rape crisis centers? Yes No

115.21 (e)

- As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews? Yes No
- As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals? Yes No

115.21 (f)

- If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating agency follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.) Yes No NA

115.21 (g)

- Auditor is not required to audit this provision.

115.21 (h)

- If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? (N/A if agency *a/ways* makes a victim advocate from a rape crisis center available to victims.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

IDOC, Internal Affairs Division is responsible for investigating allegations of sexual abuse.

The agency follows a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions.

The IDOC is responsible for investigating allegations of sexual abuse in the facility. Allegations of substantiated sexual abuse that are identified as criminal are referred for prosecution when applicable. During an interview with a PREA Investigator, he confirmed that the facility follows the requirements for investigating allegations of sexual abuse. The same investigator confirmed that the investigative protocol, as appropriate, was adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011.

Indiana Code (IC) 11-10-3-5, Co-payment requirements; exceptions. IC 11-10-3-5 outlines circumstances when an inmate is not required to pay for medical services such as (1) the service is provided in an emergency; (2) the service is provided as a result of an injury received in the correctional facility; or (3) the service is provided at the request of the administrator of a correctional facility. The agency offers all inmates who experience sexual abuse access to forensic medical examinations on-site, without financial cost, where evidentiary or medically appropriate.

The Auditor found one instance where a medical noted related to an incident of sexual abuse indicated that the victim was charged in the clinic for his care (\$5.00). After researching the matter, the PREA Compliance Manager provided the Auditor with the Trust Fund account of the inmate in question. It was determined by examination that the inmate was not charged as indicated in the nursing notes.

The Auditor confirmed by examination that Correctional Industrial Facility has a MOU with Alternatives Inc. A call was made to the service provider. The Alternatives Inc. Coordinator of the program Michelle Resendez verified that facility currently has a MOU with Alternatives Inc.

to provide victim advocacy emotional support, crisis intervention, information, and referrals to inmates assigned to CIF.

St. Vincent Anderson Regional Hospital is the primary care facility for Correctional Industrial Facility. By telephone, the Auditor confirmed that the hospital employs Sexual Assault Nursing Examiners (SANE). St. Vincent Anderson Regional Hospital currently has four (4) SANE certified nurses. All SANE nurses are certified in adult care. St. Vincent Anderson Regional Hospital has a SANE nurse on call 24 hours a day, 7 days per week. The Emergency Room (ER) is the designated location in the hospital for any IDOC inmate being treated for sexual assault. Examinations performed by Sexual Assault Forensic Examiners (SAFE) or Sexual Assault Nurse Examiners (SANE) 24 hours and seven days a week.

Random and specialized staff confirmed knowledge of the MOU with Alternatives Inc. Random and targeted inmates interviewed during the audit detailed general information about services provided by a victim advocacy organization for victims of sexual abuse but they could not provide any specific information for the Auditor. Each inmate could tell the Auditor where additional victim information could be located on the living units.

Specialized staff confirmed that if requested by the victim, CIF would provide a victim advocate, qualified agency staff member, or qualified community-based organization staff member to accompany and support the victim through the forensic medical examination process and investigatory interviews. In addition, Inmates can call the toll-free number to the Indiana Coalition Against Domestic Violence (ICADV) hotline from the inmate phone system by dialing #66. Further, inmates are also provided with the address to the ICADV to write the organization.

**Indiana Coalition Against Domestic Violence
Attn: IDOC Victim Advocate 1915 W. 18th Street
Indianapolis, IN 46202**

CIF met the requirements of Standard 115.21.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Memorandum of Understanding with Indiana Coalition Against Domestic Violence
- Memorandum: St. Vincent Anderson Regional Hospital, regarding available SANE examiners
- SART Members
- Memorandum of Advocacy and staff
- List of certified employees and copy of certificates of completion (Investigators)
- Interviews with staff (random and specialized)
- Telephone conversation with staff from the outside entity providing services
- Interviews with the PREA Compliance Manager
- Interview with the PREA Coordinator

Standard 115.22: Policies to ensure referrals of allegations for investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.22 (a)

- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse? Yes No
- Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment? Yes No

115.22 (b)

- Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior? Yes No
- Has the agency published such policy on its website or, if it does not have one, made the policy available through other means? Yes No
- Does the agency document all such referrals? Yes No

115.22 (c)

- If a separate entity is responsible for conducting criminal investigations, does the policy describe the responsibilities of both the agency and the investigating entity? (N/A if the agency/facility is responsible for criminal investigations. See 115.21(a).) Yes No
 NA

115.22 (d)

- Auditor is not required to audit this provision.

115.22 (e)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and Policy 00-01-103, Investigation, and Intelligence each address Standard 115.22. These policies ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an entity with the legal authority to conduct criminal investigations. The policy is available and accessible to all on the agency's internet website.

Policy 00-01-103 indicates that the Operation of the Office of Investigations and Intelligence investigative staff responsibilities in response to allegations of sexual abuse and harassment. The agency has a practice that documents all such referrals. More, the agency ensures an administrative or criminal investigation is completed for all allegations of sexual harassment. The Auditor interviewed a facility investigator who confirmed that CIF documents all investigations to include those referred for criminal prosecution.

In the past 12-month period the facility had a total of twelve (12) investigation of alleged sexual abuse/sexual harassment of which two (2) investigations were referred to the prosecutor's office. Correctional Industrial Facility met the requirements of Standard 115.22.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Policy 00-01-103, Investigation, and Intelligence
- Interview with the PREA Compliance Manager
- Review of the agency website
- Review of Sexual Incident Reports
- Interview with the Warden
- Interviews with an agency investigator
- PREA Committee Meeting Minutes

TRAINING AND EDUCATION

Standard 115.31: Employee training

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.31 (a)

- Does the agency train all employees who may have contact with inmates on its zero-tolerance policy for sexual abuse and sexual harassment? Yes No
- Does the agency train all employees who may have contact with inmates on how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures? Yes No
- Does the agency train all employees who may have contact with inmates on inmates' right to be free from sexual abuse and sexual harassment Yes No
- Does the agency train all employees who may have contact with inmates on the right of inmates and employees to be free from retaliation for reporting sexual abuse and sexual harassment? Yes No
- Does the agency train all employees who may have contact with inmates on the dynamics of sexual abuse and sexual harassment in confinement? Yes No
- Does the agency train all employees who may have contact with inmates on the common reactions of sexual abuse and sexual harassment victims? Yes No
- Does the agency train all employees who may have contact with inmates on how to detect and respond to signs of threatened and actual sexual abuse? Yes No
- Does the agency train all employees who may have contact with inmates on how to avoid inappropriate relationships with inmates? Yes No
- Does the agency train all employees who may have contact with inmates on how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates? Yes No
- Does the agency train all employees who may have contact with inmates on how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities? Yes No

115.31 (b)

- Is such training tailored to the gender of the inmates at the employee's facility? Yes No
- Have employees received additional training if reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa? Yes No

115.31 (c)

- Have all current employees who may have contact with inmates received such training?
 Yes No

- Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures? Yes No

- In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies?
 Yes No

115.31 (d)

- Does the agency document, through employee signature or electronic verification, that employees understand the training they have received? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)

- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and Policy 01-05-101 Staff Development and Training, the PREA Presentation Guide, Training Records and Training Acknowledgement Sheets collectively address the policy requirement of Standard 115.31.

The training curriculums provided by the agency is tailored to the needs and attributes of the inmates in the facility. Furthermore, the training curriculum included topics such as: inmates on inmates' right to be free from sexual abuse and sexual harassment, common reactions of sexual abuse and sexual harassment victims, how to avoid inappropriate relationships with inmates, and how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates.

IDOC has a written receipt that acknowledges that on a specific date the employee received training (and understand said training) from the Indiana Department of Correction regarding the Prison Rape Elimination Act (PREA) and Department of Correction Policy 02-01-115, Sexual Abuse Prevention. Additionally, the employee is issued a copy of the Department of Correction Brochure, "Sexual Assault Prevention" and a copy of facility specific brochures and documents relating to sexual abuse prevention and mandatory reporting of sexual abuse and sexual harassment. IDOC provides staff with a comprehensive education on the Prison Rape Elimination Act (PREA) that is apparent in Correctional Industrial Facility staff training transcripts, training curriculum, and specialty specific training.

A total of twelve (12) random training files were reviewed. Training documentation confirmed that all each (100%) training file reflect that staff received the required PREA related training and education. CIF met the requirements of Standard 115.31.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 (Sexual Abuse Prevention)
- Policy 01-05-101 Staff Development and Training, the PREA Presentation Guide, Training Records and Training Acknowledgement Sheets.
- Indiana Training Plan/On the Job Training Session/Security Skills Evaluations/ Learning Plan Transcript/employee acknowledgment of training
- IDOC PREA Sexual Assault Manual
- IDOC Staff Development & Training
- What you need to know Video
- Auditor review of training curriculum /informational brochures
- Interviews with staff (random and specialized)

Standard 115.32: Volunteer and contractor training

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.32 (a)

- Has the agency ensured that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures?
 Yes No

115.32 (b)

- Have all volunteers and contractors who have contact with inmates been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and

informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with inmates)? Yes No

115.32 (c)

- Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115 Sexual Abuse Prevention addresses this standard. All volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's policies and procedures regarding sexual abuse and sexual harassment prevention and detection address Standard 115.32.

The Auditor confirmed by examination that CIF has collectively two hundred-sixteen (216) volunteers and (65) contractors who have contact with residents. The Auditor examined volunteer and training to determined that all have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures.

PREA related training outlined by the agency includes an explanation of inappropriate contact with offenders as described in Policy and Administrative Procedure 04-03-103, "Information and Standards of Conduct for Departmental Staff," and the prohibitions against sexual contact with offenders as stated in the Indiana Code (IC 35-44.1). As a part of this training, staff shall be provided with a brochure created to assist staff in identifying incidents of sexual abuse and sexual harassment. All training shall be tailored to the gender of the offender population at a given facility.

Furthermore, training in the detection and response to sexual behavior shall be made a part of the volunteer, intern and contractor orientation training and annual in-service training. Each volunteer, intern, or contractor having regular contact with offenders shall be provided with a copy of the brochure provided to staff regarding sexual behavior and receive the same information and training materials that are provided to staff.

The curriculum the agency utilized for training volunteers and contractors provide a level and type of training that is based on the PREA standards, role, and responsibility with the agency. The curriculum also covers the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and how to report such incidents. Each staff interviewed by the Auditor affirmed a duty to report sexual abuse/sexual harassment immediately to a shift supervisor, the PREA Compliance Manager, Major or Warden. It should be noted that because of the pandemic CIF suspended volunteerism in the facility. CIF met the requirements of Standard 115.32.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 Sexual Abuse Prevention
- Correctional Industrial Facility Contractor and Volunteer Manual
- Correctional Industrial Facility Contractor (Wexford/Aramark)
- Interview with the PREA Compliance Manager

Standard 115.33: Inmate education

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.33 (a)

- During intake, do inmates receive information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment? Yes No
- During intake, do inmates receive information explaining how to report incidents or suspicions of sexual abuse or sexual harassment? Yes No

115.33 (b)

- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from sexual abuse and sexual harassment? Yes No
- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from retaliation for reporting such incidents? Yes No

- Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Agency policies and procedures for responding to such incidents? Yes No

115.33 (c)

- Have all inmates received the comprehensive education referenced in 115.33(b)? Yes No
- Do inmates receive education upon transfer to a different facility to the extent that the policies and procedures of the inmate's new facility differ from those of the previous facility? Yes No

115.33 (d)

- Does the agency provide inmate education in formats accessible to all inmates including those who are limited English proficient? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are deaf? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are visually impaired? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who are otherwise disabled? Yes No
- Does the agency provide inmate education in formats accessible to all inmates including those who have limited reading skills? Yes No

115.33 (e)

- Does the agency maintain documentation of inmate participation in these education sessions? Yes No

115.33 (f)

- In addition to providing such education, does the agency ensure that key information is continuously and readily available or visible to inmates through posters, inmate handbooks, or other written formats? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and IDOC 16-03, Telephonic and in Person Interpretive Service, address the policy requirement of Standard 115.33.

Policy 02-01-115, Sexual Abuse Prevention, indicates that inmates housed in the Indiana Department of Corrections (IDOC) to include transfers will receive as a part of the orientation to Central Industrial Facility (CIF) PREA education about sexual abuse and sexual harassment prevention within seven (7) days using multiple learning platforms such as video, verbal and interpretive services.

During an interview with the PREA Coordinator the Auditor determined that IDOC takes reasonable steps to ensure inmates have meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient or otherwise present with disabilities such as hearing or visual impairments. Further, the agency documents PREA related information in the inmate's institutional, clinical, and medical files.

IDOC, Policy 16-03, Telephonic and in Person Interpretive Service mandates the establishment of a contract with an interpretive provider. The Auditor interviewed the PREA Coordinator who confirmed that the agency has a statewide interpretive contract that includes services to inmates housed at CIF. The Auditor examined the contractual agreement for interpretive services with vendor, Propio, LLC with a contractual expiration date of November 2020. The vendor, Propio, LLC, provides 24 hours a day phone interpretive service that can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary.

The Auditor established that CIF has PREA informational posters displayed throughout the facility in English and Spanish. Key PREA information is continuously, readily available, and visible to inmates through PREA posters, near a row of stationary telephones, on personal tablets, and in the inmate handbook.

During the intake process the inmate is required to sign the educational acknowledgement form indicating that PREA information was disseminated in a language each understood.

Moreover, PREA related education is delivered verbally, by video, and in brochures. The educational information includes topics regarding:

- The IDCO's zero tolerance of any sexual abuse and sexual harassment;
- Offender rights to be free from sexual abuse and sexual harassment;
- Offender rights to be free from retaliation for reporting sexual abuse and sexual harassment;
- How to prevent sexual abuse;
- Self-protection;
- Reporting sexual abuse and sexual harassment; and,
- Treatment and counseling available to offenders who are victims of sexual abuse.

Problematic the Orientation Arrival sheet does not allow the inmate to make his own check yes or no to verify receipt of information disseminated during orientation such as PREA. The answers are pre-checked yes then the inmate signs and date the document.

The PREA Compliance Manager (PCM) confirmed during her interview that as indicated in the Pre-Audit Questionnaire (PAQ), the number of inmates admitted during the past 12 months who were provided PREA education during intake was 933.

A total of forty (40) inmates institutional files were reviewed by the Auditor to confirm that each inmate received information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment during their intake process. According to inmates sampled during the audit each received PREA related education and an inmate handbook within 72 hours of their arrival.

The Auditor determined that within 30 days of intake, Correctional Industrial Facility provided age-appropriate comprehensive education to inmates in person regarding: their rights to be free from sexual abuse and sexual harassment, their rights to be free from retaliation for reporting such incidents.

Interviews with a sample of random and targeted inmates confirmed that the PREA related education provided to inmates was age appropriate. The same sample of inmates confirmed for the Auditor that they understood their right to be free from sexual abuse and sexual harassment and how to report abuse.

The Auditor's interviews with random and specialized staff (100%) confirmed that during a sexual abuse incident they would avoid depending on the use of inmate interpreters, inmate readers, or other types of inmate assistance except under limited circumstances such as a medical emergency and if the extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance responsibilities of a first-response as indicated in Standard 115.64, or delay the investigation into the inmate's allegations of sexual abuse. After corrective action, Correctional Industrial Facility met the requirements of Standard 115.33.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 Sexual Abuse Prevention
- Policy IDOC 16-03, Telephonic and in Person Interpretive Service
- Auditor review of inmate's education materials
- Inmate Information System
- PREA related brochures (Spanish)
- PREA related brochures (English)
- Inmate Handbook (Spanish)
- Inmate Handbook (English)
- Auditor reviewed inmates' institutional files
- Interviews with staff (random and specialized) specialized staff Wexford contractors
- Interviews with inmates (random and targeted)
- Interview with the Health Administrator (Wexford Health Sources) (Contractor)
- Interview with the PREA Compliance Manager
- Interview with the PREA Coordinator
- Examined contract with vendor, Propio, LLC, for interpretive services to inmates
- Victim information: Indiana Coalition Against Domestic Violence, address, and telephone access #66

Corrective Action:

The intake Orientation Arrival sheet are pre checked and only the inmate's signature and date are original. This practice restricts the inmate's ability to determine the extent of information covered during intake specifically regarding their rights and the Prison Elimination Act (PREA). The Auditor pulled another sample set of inmate intake documents to confirm that CIF discontinued the practice of pre-checking documents for inmates and only requiring their signatures. The PREA Auditor will monitor the intake process for 30 days to determine compliance.

Standard 115.34: Specialized training: Investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.34 (a)

- In addition to the general training provided to all employees pursuant to §115.31, does the agency ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators receive training in conducting such investigations in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

115.34 (b)

- Does this specialized training include techniques for interviewing sexual abuse victims? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

- Does this specialized training include proper use of Miranda and Garrity warnings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

- Does this specialized training include sexual abuse evidence collection in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

- Does this specialized training include the criteria and evidence required to substantiate a case for administrative action or prosecution referral? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

115.34 (c)

- Does the agency maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

115.34 (d)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention, Policy 00-01-103, Office of Investigation and Intelligence and Conducting Sexual Assault Investigations Presentation Guide, and IDOC–Sexual Assault Response Training (SART) Curriculum address Standard 115.34.

In addition to general PREA training of all new and existing employees, contractors and volunteers, the agency mandates that investigators receive general and specialized training in conducting sexual abuse investigations in confinement settings. According to the PAQ, Standard 115.34, CIF utilizes five (5) trained PREA Investigators who have completed course training in conducting sexual abuse investigations in confinement settings. The agency provided evidence in the form of certifications to confirm that investigators conducting sexual abuse investigations completed specialized training as outlined in this standard. The certifications confirmed that the agency maintains documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations in confinement settings. The PREA investigator interviewed during the onsite portion of this audit confirmed completion of specialized training.

The Auditor examined the on-line curriculum for specialized training, PREA: Investigating Sexual Abuse in a Confinement Setting, conducted by the National Institute of Corrections, to determine that the course included techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral.

Further, the Auditor examined the training curriculum for specialized training, PREA: Investigating Sexual Abuse in a Confinement Setting, conducted by the Moss Group, to determine that the course included techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral.

Examination of training files for investigators confirmed that each investigator completed specialized training in conducting investigations in confinement settings at least once. CIF met the requirements of Standard 115.34.

Policy, Materials, Interviews and Other Evidence Reviewed:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Policy 00-01-103, Investigation, and Intelligence
- IDOC–SART Training Curriculum
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Interview with the Executive Director, agency head
- Interview with a PREA investigator

- Training records of investigative staff
- Documentation that agency investigators have completed required training
- Internet search: curriculum for PREA: Investigating Sexual Abuse in a Confinement Setting, conducted by the National Institute of Corrections
- Examined curriculum for PREA: Investigating Sexual Abuse in a Confinement Setting, conducted by the Moss Group.

Investigators Training

National Institute of Corrections

- National Institute of Corrections, PREA: Investigating Sexual Abuse in a Confinement Setting, James Stevens, February 2020
- National Institute of Corrections, PREA: Investigating Sexual Abuse in a Confinement Setting, Sarah Jones, February 2020
- National Institute of Corrections, PREA: Investigating Sexual Abuse in a Confinement Setting, John Poer, January 2016
- National Institute of Corrections, PREA: Investigating Sexual Abuse in a Confinement Setting, Alison Yancey, March 9, 2015
- National Institute of Corrections, PREA: Investigating Sexual Abuse in a Confinement Setting, Eddie Boner, February 13, 2020

United States Department of Justice

- United States Department of Justice, Fall Law Enforcement Conference, James Stevens, September 2019
- United States Department of Justice, Fall Law Enforcement Conference, John Poer, September 2019

State of Indiana, Department of Corrections

- State of Indiana, Department of Corrections, Division of Staff Development Emergency Operations, Internal Affairs and facility Investigator Certification Training Academy, October 31, 2014, Sarah Runyan

The Moss Group

- The Moss Group, PREA: Specialized Investigations Training, February 2018, James Stevens
- The Moss Group, PREA: Specialized Investigations Training, February 2018, John Poer

Standard 115.35: Specialized training: Medical and mental health care

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.35 (a)

- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to detect and assess signs of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.) Yes No NA
- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to preserve physical evidence of sexual abuse? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.) Yes No NA
- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how to respond effectively and professionally to victims of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.) Yes No NA
- Does the agency ensure that all full- and part-time medical and mental health care practitioners who work regularly in its facilities have been trained in how and to whom to report allegations or suspicions of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.) Yes No NA

115.35 (b)

- If medical staff employed by the agency conduct forensic examinations, do such medical staff receive appropriate training to conduct such examinations? (N/A if agency medical staff at the facility do not conduct forensic exams *or* the agency does not employ medical staff.)
 Yes No NA

115.35 (c)

- Does the agency maintain documentation that medical and mental health practitioners have received the training referenced in this standard either from the agency or elsewhere? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.) Yes No NA

115.35 (d)

- Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.31? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners employed by the agency.)
 Yes No NA

- Do medical and mental health care practitioners contracted by or volunteering for the agency also receive training mandated for contractors and volunteers by §115.32? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners contracted by or volunteering for the agency.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor’s analysis and reasoning, and the auditor’s conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention addresses the policy requirements of Standard 115.35, specialized training for medical and mental health (full-or-part-time) care practitioners who work regularly at CIF.

Medical practitioners at CIF do not conduct forensic medical exams. Forensic medical exams are conducted in the community. The policy governs specialized and general training of medical and mental health practitioners for compliance with this standard.

CIF training documents confirms that medical and mental health practitioners have received specialized training as required in Standard 115.35. Further, the Auditor confirmed by examination of the curriculum that specialized training of medical and mental health staff included: How to detect and assess signs of sexual abuse and sexual harassment, how to preserve physical evidence of sexual abuse, how to respond effectively and professionally to victims of sexual abuse and sexual harassment, and how and to whom to report allegations or suspicions of sexual abuse and sexual harassment.

During virtual and onsite interviews, medical and mental health practitioners were able to describe in detail specialized and general PREA related training each completed in

accordance with this standard. Correctional Industrial Facility met the requirements of Standard 115.35.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Interviews with Medical and Mental Health Staff
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Wexford Companies, curriculum, What Healthcare Providers Need to Know, dated 3/2018-revised
- Review of training certifications for all medical and mental health staff, Joshua Wilson, dated 2/18/20, Wexford Health Sources Incorporated
- Review of training certifications for all medical and mental health staff, Richard Gale, dated 2/17/20, Wexford Health Sources Incorporated
- Review of training certifications for all medical and mental health staff, Yvonne Miller-Borsodi, 2/17/20, Wexford Health Sources Incorporated
- Review of training certifications for all medical and mental health staff, Sara Evans, 2/17/20, Wexford Health Sources Incorporated
- Internet search: National Institute of Corrections (NIC) - <http://nicic.gov/training/prea>
- PREA Medical Health Care for Sexual Assault Victims in a Confinement Setting Course. 2013. <https://nicic.gov/library/027696>
- Internet search: End Silence: The Project on Addressing Prison Rape - <https://www.wcl.american.edu/endsilence/>
- Internet search: PREA Resources for Health Care Providers. National Commission on Correctional Health Care, video presentations on a variety of relevant topics, <http://www.ncchc.org/prea-resources>

SCREENING FOR RISK OF SEXUAL VICTIMIZATION AND ABUSIVENESS

Standard 115.41: Screening for risk of victimization and abusiveness

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.41 (a)

- Are all inmates assessed during an intake screening for their risk of being sexually abused by other inmates or sexually abusive toward other inmates? Yes No
- Are all inmates assessed upon transfer to another facility for their risk of being sexually abused by other inmates or sexually abusive toward other inmates? Yes No

115.41 (b)

- Do intake screenings ordinarily take place within 72 hours of arrival at the facility?
 Yes No

115.41 (c)

- Are all PREA screening assessments conducted using an objective screening instrument? Yes No

115.41 (d)

- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (1) Whether the inmate has a mental, physical, or developmental disability? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (2) The age of the inmate? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (3) The physical build of the inmate? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (4) Whether the inmate has previously been incarcerated? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (5) Whether the inmate's criminal history is exclusively nonviolent? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (6) Whether the inmate has prior convictions for sex offenses against an adult or child? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (7) Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the inmate about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the inmate is gender non-conforming or otherwise may be perceived to be LGBTI)? Yes No

- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (8) Whether the inmate has previously experienced sexual victimization? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (9) The inmate's own perception of vulnerability? Yes No
- Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (10) Whether the inmate is detained solely for civil immigration purposes? Yes No

115.41 (e)

- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency, prior acts of sexual abuse? Yes No
- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency, prior convictions for violent offenses? Yes No
- In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency, history of prior institutional violence or sexual abuse? Yes No

115.41 (f)

- Within a set time period not more than 30 days from the inmate's arrival at the facility, does the facility reassess the inmate's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening? Yes No

115.41 (g)

- Does the facility reassess an inmate's risk level when warranted due to a referral? Yes No
- Does the facility reassess an inmate's risk level when warranted due to a request? Yes No
- Does the facility reassess an inmate's risk level when warranted due to an incident of sexual abuse? Yes No
- Does the facility reassess an inmate's risk level when warranted due to receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness? Yes No

115.41 (h)

- Is it the case that inmates are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section? Yes No

115.41 (i)

- Has the agency implemented appropriate controls on the dissemination within the facility of responses to questions asked pursuant to this standard in order to ensure that sensitive information is not exploited to the inmate's detriment by staff or other inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention addresses this standard. It is the policy of the IDOC to provide a safe and secure environment for all staff, volunteers, contractual staff, visitors, official visitors, and inmates; and to maintain a program for the prevention of sexual abuse and sexual harassment in any facility operated by the Department or with which the Department contracts.

According to the PREA Coordinator, CIF does not have a consent decree, legal settlement, or legal judgement that requires the facility to establish a dedicated facility, unit, or wing for inmates identified as gay, bisexual, lesbian, transgender, or intersex as provided by title, status, and finds of each decree, settlement, or judgement. IDOC policy mandates that all facilities assess inmates using a screening instrument, Sexual Violence Assessment Tool (SVAT), during intake or during a transfer to another facility, to determine the risk of

victimization or abusiveness toward other offenders. The screening process ordinarily should occur within seventy-two (72) hours of arrival at the facility.

The Auditor examined the Adult SVAT Questionnaire for objectivity. The instrument considers at a minimum factors outlined in Standard 115.41 such as the age of the inmate; physical build; previous incarcerations; the inmates' perception of vulnerability; and whether the inmates is or is perceived to be gay, bisexual; transgender, intersex or gender nonconforming. An interview with intake staff confirmed that the SVAT is used to inform housing, job, program, education, and housing considerations with the goal of keeping the vulnerable inmate at high risk of being sexually victimized from those inmates at high risk of being sexually abusive.

Interviews with specialized staff confirmed that CIF would not discipline an inmate for refusal to answer, or for not disclosing complete information in response to any or all PREA related questions posed regarding screening for risk of sexual victimization and abusiveness.

The specialized medical and mental health staff, the PREA Compliance Manager and the Health Administrator all confirmed during individual interviews that Correctional Industrial Facility has a system in place to guard against the dissemination of sensitive information by staff or other inmates.

The Auditor examined forty (40) institutional and clinical files to confirm that the facility is completing SVAT assessments on all inmates upon arrival or transfer to CIF. Moreover, interviews with random and targeted inmates also confirmed that inmates are being screened for risk of victimization or abusiveness on arrival by the facility. CIF met the requirements of Standard 115.41.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-11-115, Sexual Abuse Prevention
- Review of record of inmates admitted in the past 12 months
- Sample review of inmates admitted in the past 12 months initial assessments
- Sample review of inmates admitted in the past 12 months reassessments
- Sample review of SVAT screenings, housing placements
- Review of SVAT screening instrument
- Facility tour
- Auditor interviews with intake staff (random and specialized)
- Auditor interviews with inmates (random and targeted)
- Auditor interviews with inmates self-identified as transgender, gay, bisexual
- Interview with a Health Care Administrator
- Interview with the PREA Compliance Manager
- Interview with the PREA Coordinator

Standard 115.42: Use of screening information

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.42 (a)

- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments? Yes No
- Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments? Yes No

115.42 (b)

- Does the agency make individualized determinations about how to ensure the safety of each inmate? Yes No

115.42 (c)

- When deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, does the **agency** consider, on a case-by-case basis whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns inmates to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)? Yes No
- When making housing or other program assignments for transgender or intersex inmates, does the agency consider on a case-by-case basis whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems? Yes No

115.42 (d)

- Are placement and programming assignments for each transgender or intersex inmate reassessed at least twice each year to review any threats to safety experienced by the inmate? Yes No

115.42 (e)

- Are each transgender or intersex inmate's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments? Yes No

115.42 (f)

- Are transgender and intersex inmates given the opportunity to shower separately from other inmates? Yes No

115.42 (g)

- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: lesbian, gay, and bisexual inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.) Yes No NA
- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: transgender inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.) Yes No NA
- Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention, Policy 01-04-101 Administrative Procedure and Policy 02-01-118, Transgender and Intersex Offenders address the requirements of Standard 115.42. IDOC/Correctional Industrial Facility use of information from the risk screening is mandated in Standard 115.41, Screening for Risk of Victimization and Abusiveness and as required by Standard 115.42.

Policy 02-01-115 mandates an agency-wide use of a Sexual Violence Assessment Tool (SVAT) a risk screening instrument to better inform housing, programming, and education assignments, and to keep vulnerable inmates at high risk of sexual victimization safe from inmates with a propensity for abusiveness. The SVAT is an essential component in housing and placement decisions at CIF. If an inmate is identified as being either vulnerable or abusive the inmate's institutional data file (IRIS) is flagged in the agency electronic storage system. Risk-based decisions are made by intake and the Unit Team then documented in IRIS. The reassessment of a transgender or intersex inmate is managed by the PREA Compliance Manager.

The Auditor determined by examination that the PCM reviewed the placement and programming assignments for each transgender or intersex inmate. The placement and programming assignments for each transgender or intersex inmate was reassessed at least twice each year to review any threats to safety experienced by the inmate, as required in this standard. The PCM maintains documentation of bi-annual reassessments of all transgender or intersex inmates. Sensitive information akin to a sexual preference, gender identification, history of sexual abuse or victimization is defined as sensitive information and therefore password protected with restricted access based on a need-to-know as determined by CIF and the agency.

Policy 02-01-118 mandates if an inmate self-identifies as transgender, the inmate shall be referred to Health Services for further evaluation. When an inmate self-identifies as a gender other than that assigned at birth and the offender's genital status is unknown, the status shall be determined during the medical intake reception screening process by reviewing available medical records or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical

practitioner during the Intake Health Appraisal (IHA). The PREA Compliance Manager and the facility PREA Committee to complete State Form 56617, Transgender and Intersex Placement Review. The committee considers criminogenic factors, gender identification, gender expression and other factors such as:

1. The offender's own views of where he/she feels safe;
2. Medical and Mental Health assessment;
3. Security Threat Group (STG) affiliation;
4. Criminal history – sex or violent offense;
5. Conduct history – sex or violent offense;
6. PREA flag status;
7. Gender expression – gender non-conforming;
8. Policy and Administrative Procedure 01-04-101, "Adult Offender Classification;"
9. Security level; and,
10. Any other factors impacting safety and security

The Division of Classification, in consultation with the Department's Executive Staff, including the Chief Medical Officer, ensure that a transgender and intersex inmate is housed in a manner consistent with their medical and mental health needs, sentencing level, and in accordance with Policy and Administrative Procedure 01-04-101.

Random and targeted inmates (100%) sampled indicate that they are given the opportunity to shower, use the toilet and change clothes in private except in exigent circumstances. Correctional Industrial Facility has a policy that specifies placement in segregation would be a last resort. CIF indicated that the facility preference is to use the least restrictive measures to keep inmates safe, always considering the inmates own views of his safety and facility security considerations, until an alternative means of safety can be arranged.

The PREA Compliance Manager indicated that the PREA Committee meets regularly to discuss PREA related facility issues. The PREA Committee is a multidisciplinary team that would ensure that a transgender or intersex inmate is given the opportunity to shower separately from other inmates. Placement consideration for transgender or intersex inmates to a facility for male or female inmates is a classification decision made before the inmates is assigned to the facility.

According to the PREA Coordinator, IDOC makes placement decisions on a case-by-case basis. During the on-site portion of the audit there were three (3) transgender, and zero intersex inmates assigned to CIF. Further, each transgender or intersex inmates' own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments. Correctional Industrial Facility met the requirements for Standard 115.42.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-11-115 Sexual Abuse Prevention
- Policy 02-1-118 Transgender and Intersex Inmate

- Policy 01-04-101 Administrative Procedure
- Review of SVAT/reassessment screenings
- Review of SVAT screening tool
- Inmate Information System
- Observations made during the on-site portion of the audit
- Interviews with staff (random and specialized)
- Interviews with inmates (random and targeted)
- Auditor Interview with the PREA Compliance Manager

Standard 115.43: Protective Custody

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.43 (a)

- Does the facility always refrain from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers? Yes No
- If a facility cannot conduct such an assessment immediately, does the facility hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment? Yes No

115.43 (b)

- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Programs to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Privileges to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Education to the extent possible? Yes No
- Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Work opportunities to the extent possible? Yes No
- If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the opportunities that have been limited? (N/A if the facility *never* restricts access to programs, privileges, education, or work opportunities.) Yes No NA

- If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the duration of the limitation? (N/A if the facility *never* restricts access to programs, privileges, education, or work opportunities.) Yes
 No NA
- If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the reasons for such limitations? (N/A if the facility *never* restricts access to programs, privileges, education, or work opportunities.) Yes No NA

115.43 (c)

- Does the facility assign inmates at high risk of sexual victimization to involuntary segregated housing only until an alternative means of separation from likely abusers can be arranged? Yes No
- Does such an assignment not ordinarily exceed a period of 30 days? Yes No

115.43 (d)

- If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document the basis for the facility's concern for the inmate's safety? Yes No
- If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document the reason why no alternative means of separation can be arranged? Yes No

115.43 (e)

- In the case of each inmate who is placed in involuntary segregation because he/she is at high risk of sexual victimization, does the facility afford a review to determine whether there is a continuing need for separation from the general population EVERY 30 DAYS? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention, 02-01-1 07, Use and Operation of Protective Custody, 01-04-106, Offender Monitoring Program, 02-04-102, Use and Operation of Adult Disciplinary Segregation Units and 02-01-111, Use and Operation of Adult Administrative Segregation Units all address the policy requirements of Standard 115.43

The Auditor interviewed a security supervisor from segregation. He confirmed that the facility always refrains from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers. The facility would only assign an inmate at high risk of sexual victimization to involuntary segregated housing only as a last resort to maintain the sexual safety of the inmate or until an alternative means of separation from the likely abusers can be arranged. The PREA Compliance Manager indicated that CIF would place an inmate in involuntary segregated housing for less than 24 hours while the facility completing an assessment and recording the placement decision.

The PREA Coordinator also confirmed that involuntary placement in a segregated housing unit for a PREA related reason requires the facility to document the reason why no alternative means of separation could be arranged including a justification of the inability to provide placement in a less restrictive setting. Inmates placed in segregated because they are at high risk of sexual victimization have access to education, medical, mental health, some programs, and commissary but work is limited said the segregation supervisor. Correctional Industrial Facility met the requirements for Standard 115.42.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-11-115, Sexual Abuse Prevention
- Internet review of Policy 02-01-1 07, The Use and Operation of Protective Custody
- Internet review of Policy 01-04-106, Offender Monitoring Program
- Internet review of Policy 02-04-102, The Use and Operation of Adult Disciplinary Segregation Units
- Policy 02-01-111, The Use and Operation of Adult Administrative Segregation Units
- Inmate Information System, IRIS
- Observations made during the on-site portion of the audit
- Interview with staff (random and specialized)
- Interview with inmates (random and targeted)
- Interview with the PREA Compliance Manager
- Interview with a Segregation Lieutenant
- Interview with the PREA Coordinator

- Sample review of inmate housing assignments and incident review
- Sample review of PREA Committee Meeting to discuss investigations and complaints
- Agency Offender Handbook (English/Spanish)
- CIF Offender Handbook, revised November 2018

REPORTING

Standard 115.51: Inmate reporting

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.51 (a)

- Does the agency provide multiple internal ways for inmates to privately report sexual abuse and sexual harassment? Yes No
- Does the agency provide multiple internal ways for inmates to privately report retaliation by other inmates or staff for reporting sexual abuse and sexual harassment? Yes No
- Does the agency provide multiple internal ways for inmates to privately report staff neglect or violation of responsibilities that may have contributed to such incidents? Yes No

115.51 (b)

- Does the agency also provide at least one way for inmates to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency? Yes No
- Is that private entity or office able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials? Yes No
- Does that private entity or office allow the inmate to remain anonymous upon request? Yes No
- Are inmates detained solely for civil immigration purposes provided information on how to contact relevant consular officials and relevant officials at the Department of Homeland Security? (N/A if the facility *never* houses inmates detained solely for civil immigration purposes) Yes No NA

115.51 (c)

- Does staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties? Yes No

- Does staff promptly document any verbal reports of sexual abuse and sexual harassment? Yes No

115.51 (d)

- Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and Policy 00-01-102, Inmate Access to Court address the requirements of Standard 115.51.

The PREA Coordinator indicated that CIF never houses inmates detained solely for civil immigration purposes. The agency provides multiple internal ways for inmates to privately report to agency officials sexual abuse and sexual harassment, and retaliation by other inmates or staff for reporting. The same policy, Policy 02-01-115, mandates that staff accept reports of sexual assault and sexual harassment made verbally, in writing, from a third-party or anonymously. Further, the agency also provides inmates with at least one way to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency. IDOC uses the Indiana Ombudsman Bureau. The Indiana Ombudsman Bureau allows the inmate to remain anonymous if requested.

CIF Inmate Handbook provides internal ways for inmates to privately report sexual abuse and sexual harassment. The PREA brochure is designed to inform inmates about sexual abuse and sexual harassment, ways to report an incident of sexual abuse or sexual harassment, threats of sexual abuse or sexual abuse and retaliation. The victim of a sexual abuse can report sexual abuse or sexual harassment by:

- Telling a trusted staff person

- Dialing # 66 to report sexual abuse or misconduct
- Write or call the Indiana Ombudsman Bureau
402 W. Washington, Street., W479
Indianapolis, IN 46204
- Filing a grievance
- Third party reporting having a family member or friend to report an incident on their behalf
- Email: idocprea@idoc.in.gov or phone:1 (877) 383-5877
- Alert the PREA Compliance Manager

Random and targeted inmates (100%) confirmed during interviews that the facility provides multiple ways to report sexual abuse or sexual harassment. Moreover, during inmate interviews (random and targeted) inmates were able to detail multiple ways of reporting sexual abuse or sexual harassment to include contacting the PREA Compliance Manager or Ombudsman Bureau. The same inmates detailed for the Auditor how to report an incident of sexual abuse or sexual harassment using the grievance process. Random and targeted inmates sampled (92%) indicated that they felt comfortable telling a trusted staff member or the PREA Compliance Manager. Other inmates (8%) interviewed indicated a willingness to use other mechanisms to report sexual abuse or sexual harassment by contacting the Ombudsman's Bureau, using the hotline, or filing a grievance.

All staff (random and specialized) sampled indicated they would accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties, immediately document the incident and notify their shift supervisor while maintaining the sexual safety of the victim. CIF met the reporting requirements of Standard 115.51.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Indiana Ombudsman Bureau
- CIF Inmates Handbook
- Agency Inmate Handbook
- PREA related informational posters (English/Spanish)
- Facility tour
- Policy 02-01-115 (Sexual Abuse Prevention)
- Policy 00-01-102 (Inmate Access to Court)
- Review of the investigative reports
- Auditor review of forms and reporting documentation
- Interviews with inmates (random and targeted)
- Interviews with staff (random and specialized)
- Interview with the PREA Compliance Manager
- PREA Coordinator

Standard 115.52: Exhaustion of administrative remedies

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.52 (a)

- Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address inmate grievances regarding sexual abuse. This does not mean the agency is exempt simply because an inmate does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse. Yes No

115.52 (b)

- Does the agency permit inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency always refrain from requiring an inmate to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (c)

- Does the agency ensure that: An inmate who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency ensure that: Such grievance is not referred to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (d)

- Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by inmates in preparing any administrative appeal.) (N/A if agency is exempt from this standard.) Yes No NA
- If the agency claims the maximum allowable extension of time to respond of up to 70 days per 115.52(d)(3) when the normal time period for response is insufficient to make an appropriate decision, does the agency notify the inmate in writing of any such extension and provide a date by which a decision will be made? (N/A if agency is exempt from this standard.) Yes No NA

- At any level of the administrative process, including the final level, if the inmate does not receive a response within the time allotted for reply, including any properly noticed extension, may an inmate consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (e)

- Are third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA
- Are those third parties also permitted to file such requests on behalf of inmates? (If a third-party files such a request on behalf of an inmate, the facility may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process.) (N/A if agency is exempt from this standard.) Yes No NA
- If the inmate declines to have the request processed on his or her behalf, does the agency document the inmate's decision? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (f)

- Has the agency established procedures for the filing of an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance alleging an inmate is subject to a substantial risk of imminent sexual abuse, does the agency immediately forward the grievance (or any portion thereof that alleges the substantial risk of imminent sexual abuse) to a level of review at which immediate corrective action may be taken? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance described above, does the agency provide an initial response within 48 hours? (N/A if agency is exempt from this standard.) Yes No NA
- After receiving an emergency grievance described above, does the agency issue a final agency decision within 5 calendar days? (N/A if agency is exempt from this standard.) Yes No NA
- Does the initial response and final agency decision document the agency's determination whether the inmate is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.) Yes No NA

- Does the initial response document the agency's action(s) take in response to the emergency grievance? (N/A if agency is exempt from this standard.) Yes No NA
- Does the agency's final decision document the agency's action(s) take in response to the emergency grievance? (N/A if agency is exempt from this standard.) Yes No NA

115.52 (g)

- If the agency disciplines an inmate for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the inmate filed the grievance in bad faith? (N/A if agency is exempt from this standard.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

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Policy 00-02-301 Inmate Grievance Process and Policy 02-01-115 Sexual Abuse Prevention collectively address the requirements of Standard 115.52. IDOC is not exempt from this standard.

Policy 00-02-301, Inmate Grievance Process, Section I, Policy Statement reads:

It is expected that offender complaints will be resolved informally by staff attempting to meet and discuss the complaints prior to the offender filing a written grievance.

Policy 00-02-301, Inmate Grievance Process, Section IV, Use of the Offender Grievance Process reads:

The Department recognizes only one grievance process. The grievance process described in this policy and administrative procedure is the only administrative remedy officially recognized by the Department for the resolution of offenders' grievable issues. The complete offender grievance process consists of the following steps:

1. **A formal attempt** to solve a problem or concern following unsuccessful attempts at informal resolutions;
2. A written appeal to the Warden/designee; and,
3. A written appeal to the Department Grievance Manager.

Matters Appropriate to the Inmate Grievance Process:

Examples of issues which an inmate may initiate the grievance process include, but are not limited to:

1. The substance and requirements of policies, procedures, and rules of the Department or facility (including, but not limited to, correspondence, staff treatment, medical or mental health, some visitation, and food service).
2. The way staff members interpret and apply the policies, procedures, or rules of the Department or of the facility.
3. Actions of individual staff, contractors, or volunteers.
4. Acts of reprisal for using the Inmate Grievance Process.
5. Any other concerns relating to conditions of care or supervision within the Department or its contractors, except as noted in this policy and administrative procedure; and,
6. **PREA.**

Policy 00-02-301, Inmate Grievance Process, Section C. Emergency Grievance

The Auditor interviewed the Warden during the onsite portion of this audit. The Warden detailed the emergency grievance process. The Offender Grievance Specialist would immediately bring an emergency grievance to the attention of the Warden/designee, PREA Compliance Manager and the PREA Coordinator for review and response within **one (1) business day** of the offender filing the grievance. The action on any emergency grievance may be appealed by the offender within **one (1) business day** of receiving the response. The Offender Grievance Specialist will notify, via email, the Department Offender Grievance Manager, PREA Coordinator that the appeal has been submitted. The Department Offender Grievance Manager then issues a final Department decision within **five (5) business days** of the offender filing the grievance. Problematic, after receiving an emergency grievance the agency is required to issue a final agency decision within **five (5) calendar days**. Standard 115.52 (f), after receiving an emergency grievance requires the agency to issue a final agency decision **within 5 calendar days not business days**.

Policy 00-02-301, Inmate Grievance Process, PREA Grievances, Section D.

Standard 115.52 (b) requires the agency to always refrain from requiring an inmate to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse.

Policy 00-02-301, Inmate Grievance Process, PREA Grievances, Section D. of the grievance process removes standard time limits for submission of a grievance and permits inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits. However, Policy 00-02-301, Inmate Grievance Process, Policy Statement excerpt stipulates:

“...it is expected that offender complaints will be resolved informally by staff attempting to meet and discuss the complaints prior to the offender filing a written grievance.”

This segment of the grievance process conflicts with direction provided to staff found in other sections of the same policy.

Inmate Grievance Process, Section D., PREA Grievances, paragraph one (1) indicates that the Warden shall forward the emergency grievance to the Offender Grievance Specialist, who shall provide an initial response within forty-eight (48) hours of the offender filing the emergency grievance. This information conflicts with verbiage found in, Inmate Grievance Process, Section C., Emergency Grievance.

The PREA Coordinator confirmed during his interview that the agency would issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance. The interview with the PREA Coordinator is consistent with Policy 00-02-301, Inmate Grievance Process, Section D. and Standard 115.52. Furthermore, the PREA Coordinator indicated that if the agency claims the maximum allowable extension of time to respond per 115.52(d)(3), the agency would notify the inmate in writing of any such extension and provide a date by which a decision will be made. The PREA Coordinator confirmed his understanding that if an inmate does not receive a response within the time allotted for reply by the agency, including any properly noticed extension, the absence of a response is considered a denial at that level.

Third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, are permitted by IDOC to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse. IDOC, Policy 00-02-301 Inmate Grievance Process, Subsection D. reads:

“Third parties, including other offenders, staff members, family members, attorneys, and outside advocates, shall be permitted to assist offenders in filing requests for administrative remedies relating to allegations of sexual abuse, and shall also be permitted to file such requests on behalf of offenders. If a third party files such a request on behalf of an offender, the facility may require, as a condition of processing the request, that the alleged victim agree to have the request filed on his/her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process. If the offender declines to have the request processed on his/her behalf, the Department shall document the offender’s decision.”

The PCM indicated that CIF may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process. The facility investigator confirmed during his interview that IDOC may claim an extension of time to respond, of up to seventy (70) days if the normal time for response is insufficient to make an appropriate decision. The IDOC shall notify the inmate in writing of any such extension and provide a date by which a decision shall be made.

The agency disciplines an inmate for filing a grievance related to alleged sexual abuse, ONLY where the agency demonstrates that the inmates filed the grievance in bad faith outlined in Policy 02-11-115 and 00-02-301. Correctional Industrial Facility met the requirements of Standard 115.52.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 00-02-301 (Inmate Grievance)
- Policy 02-1-115 (Sexual Abuse Prevention)
- Interviews with staff
- Interviews with inmates
- Interview with the PREA Compliance Manager
- Inmate Handbook and Brochure

Cautionary Note:

- While the agency met the requirements of Standard 115.53 this Auditor highly recommends that the agency consider a modification policy statement, Offender Grievance Process, 00-020301. The last sentence in the policy statement reads “It is expected that offender complaints will be resolved informally by staff attempting to **meet and discuss the complaints prior** to the offender filing a written grievance.” The final statement directs the inmate to attempt to resolve all complaints with staff.
- **GRIEVANCE: A formal written complaint** or concern submitted on a State Form 45471 in compliance with this policy and administrative procedure and logged by the Offender Grievance Specialist.
- **Definition: EMERGENCY GRIEVANCE:** The resolution of a grievance that if subjected to the normal time limits could cause the grievant substantial risk of personal injury or irreparable harm.
- Department for the resolution of offenders’ grievable issues. The complete offender grievance process consists of the following steps:

1. A formal attempt to solve a problem or concern following unsuccessful attempts at informal resolutions;
2. A written appeal to the Warden/designee; and,
3. A written appeal to the Department Grievance Manager.

Standard 115.53: Inmate access to outside confidential support services

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.53 (a)

- Does the facility provide inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations? Yes No
- Does the facility provide persons detained solely for civil immigration purposes mailing addresses and telephone numbers, including toll-free hotline numbers where available of local, State, or national immigrant services agencies? (N/A if the facility *never* has persons detained solely for civil immigration purposes.) Yes No NA
- Does the facility enable reasonable communication between inmates and these organizations and agencies, in as confidential a manner as possible? Yes No

115.53 (b)

- Does the facility inform inmates, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws? Yes No

115.53 (c)

- Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide inmates with confidential emotional support services related to sexual abuse? Yes No
- Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

IDOC Policy 02-01-115 Sexual Abuse Prevention, Policy 02-01-102, Inmate Visitation, PREA posters, PREA pamphlets, CIF Inmate Handbook, Alternatives, Inc., service agreement and the Victim Advocacy agreement with the Indiana Coalition Against Domestic Violence (ICADV) and a local advocacy organization, Alternative, Inc. were provided through an online platform (Syncplicity) for the Auditor's review. Both policies along with PREA related informational brochures and service agreements all address Standard 115.53. This facility never detains inmates solely for civil immigration purposes therefore the Auditor considers CIF exempt from Standard 115.53 (a) as it pertains to civil detention.

By examination of the Memorandum of Understanding and the victim advocacy organization termed, Alternative Inc. dated February 11, 2020, the Auditor determined that the agency provides inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations. More, Correctional Industrial Facility provides inmates with access to outside victim advocates for emotional support services related to sexual abuse. The Auditor noted that during her tour of the facility contact information for Alternative Inc. was displayed throughout the facility. The scope of assistance provided by Alternative Inc. include availability 24 hours a day, seven days a week, hospital response, crisis line (866-593-9999), legal, medical, and dental assistance; learn parenting skills for single-parent households; acquire education and job skills to support your independence; secure transitional or permanent housing; and pursue employment or job training opportunities. Alternative Inc. works in cooperation with other organizations such as the Indiana Coalition Against Domestic Violence (ICADV), Indiana VINE (victim notification), AbuseLawsuit.com, and Maryville University (Understanding the Me-Too Movement: A Sexual Harassment Awareness Guide).

During interviews with inmates (random and targeted) all stated they have access to legal counsel if necessary, and it is not counted towards their weekly telephone call allotment. The same information is found in the CIF Inmate Handbook. During interviews, the inmates (100%) confirmed the telephone calls practice at the facility. CIF met the requirements of Standard 115.53.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- CIF Inmate Handbook
- MOU: Indiana Coalition Against Domestic Violence
- MOU: Alternative, Inc
- Policy 02-01-102, Inmate Visitation
- Facility tour
- Verification of inmate access to outside support services
- Internet search: Alternative, Inc, crisis hotline 866-593-9999
- Internet search: Indiana Coalition Against Domestic Violence
- Internet search: Indiana VINE
- Internet search: AbuseLawsuit.com
- Internet search: Maryville University (Understanding the Me-Too Movement: A Sexual Harassment Awareness Guide
- Interviews with inmates (random and targeted)
- Interviews with staff (random and specialized)
- Interviews with the PREA Coordinator
- Interviews with the PREA Compliance Manager
- Service posted notice: Victims of Sexual Abuse, Indiana Coalition Against Domestic Violence (English)
- Service posted notice: Victims of Sexual Abuse, Indiana Coalition Against Domestic Violence (Spanish)

Standard 115.54: Third-party reporting

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.54 (a)

- Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment? Yes No
- Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)

- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

IDOC has established a method to receive third-party reports of sexual abuse and sexual harassment. The agency has distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate. The Auditor examined the notification on the agency website during an internet search.

IDOC SEXUAL ABUSE AND SEXUAL HARASSMENT REPORTS

To report an incident of sexual abuse or sexual harassment on behalf of a inmates please call 877-385-5877 or email IDOCPREA@idoc.in.gov or write or call:

The Indiana Ombudsman Bureau
402 W. Washington, Street., W479
Indianapolis, IN 46204

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Indiana Department of Correction website
- Interviews with staff (random and specialized)
- Interviews with inmates (random and targeted)
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Internet search: IDOC website

OFFICIAL RESPONSE FOLLOWING AN INMATE REPORT

Standard 115.61: Staff and agency reporting duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.61 (a)

- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency? Yes No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment? Yes No
- Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual abuse or sexual harassment or retaliation? Yes No

115.61 (b)

- Apart from reporting to designated supervisors or officials, does staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions? Yes No

115.61 (c)

- Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section? Yes No
- Are medical and mental health practitioners required to inform inmates of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services? Yes No

115.61 (d)

- If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws? Yes No

115.61 (e)

- Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and 04-03-103, Information and Standards of Conduct for Department Staff addresses Standard 115.61. The inmate population placed at CIF are over the age of 18.

Policy 02-01-115 and 04-03-103 both outline that all IDOC staff to include contractors are required to immediately report any knowledge, suspicion or information they receive regarding sexual abuse and harassment, retaliation against inmates or staff who report any incidents, and any staff neglect or violation of responsibilities that may have contributed to an incident of retaliation. Interviews with staff (random and specialized) (100%) confirmed that they understand their responsibilities regarding Standard 115.61 and that sexual misconduct is strictly prohibited by the agency and the Indiana State Code.

Indiana Code 35-44.1-3-10 states a staff person who knowingly or intentionally engages in sexual intercourse or deviant sexual conduct with an offender commits sexual misconduct, a Class D felony. The Department will aggressively pursue criminal prosecution of a staff person who violates Indiana Code 35-44.1-3-10.

Apart from reporting to designated supervisors or officials, the agency PREA Investigator interviewed during the onsite portion of the audit, confirmed that IDOC prohibits staff from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions.

The PREA Coordinator confirmed in an interview that IDOC also requires all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment, and information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual abuse or sexual harassment or retaliation. The facility reports all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators. The PREA Investigator confirmed to the Auditor that the facility reports all allegations of sexual abuse and sexual

harassment, including third-party and anonymous reports, and this type of PREA report would be accepted by the agency and investigated immediately.

Staff (random and specialized) interviews confirmed that 100% of staff understood that IDOC requires all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding any staff neglect or violation of responsibilities that may have contributed to an incident of sexual abuse or sexual harassment or retaliation.

All specialized staff sampled were very aware of the mandatory requirement to report all allegations of sexual abuse or sexual harassment immediately to a shift supervisor. Furthermore, medical, and mental health practitioners sampled also confirmed a responsibility to inform inmates of their duty to report, and the limitations of confidentiality, at the initiation of services.

The PREA Compliance Manager provided the Auditor with sample Duty to Report, Mental and Medical Health documents that an inmate is required to read and sign at the initiation of treatment by a practitioner. The document informs the inmate of the parameters of the PREA duty to report in writing. The inmate is then required to sign the document, print his name, and enter his IDOC#. The same document is witnessed by a staff person and dated.

The Auditor also interviewed, the Warden, and PREA Compliance Manager during separate interviews, each confirmed during their respective interviews an understanding of their role and responsibility that upon receiving any allegation of sexual abuse, to promptly report the allegation to the appropriate IDOC office. Interviews with staff (random and specialized) support compliance with Standard 115.61. Problematic, the Auditor found one (1) incident that a medical practitioner did not immediately report sexual abuse to a supervisor, PREA Compliance Manager or upper management. The medical practitioner (nurse) will undergo re-training to address the problem. After corrective action, Correctional Industrial Facility met the requirements of Standard 115.61.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-11-115, Sexual Abuse Prevention
- 04-03-103, Information and Standards of Conduct for Department Staff
- Interviews with staff (random and specialized)
- Interviews with inmates (random and targeted)
- Interview with the PREA Coordinator
- Interview with the Warden
- Interview with the PREA Compliance Manager
- Interview with a PREA Investigator
- Indiana Code 35-44.1-3-10

Corrective action:

The nurse in question will undergo documented re-training and education regarding her duty to immediately report all allegations or suspicion of sexual abuse to the PREA Compliance Manager, shift supervisor or upper management. CIF will provide the Auditor with documented evidence of retraining for the nurse.

Standard 115.62: Agency protection duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.62 (a)

- When the agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the inmate? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and Policy 00-02-301 Inmate Grievance Process addresses Standard 115.62.

Policy 02-01-115 mandates that when agency staff, contractors and volunteers learn that an inmate is subject to a substantial risk of imminent sexual abuse, immediate actions are taken to protect the inmate, a supervisor is notified and the incident documented.

Interviews with staff (random and specialized) sampled during the onsite portion of this audit, detailed their understanding of their role and responsibility in the event an inmate is subject to a substantial risk of imminent sexual abuse.

All staff sampled (100%) (random and specialized) indicate that they would take immediate action to safeguard the victim from abusive behavior. The same staff (random and specialized) affirmed they would follow IDOC guidelines set forth in Policy 02-11-115 and this standard. In the past 12 months, the number of times the agency or facility determined that an inmate was subject to a substantial risk of imminent sexual abuse was one (1). CIF met the requirements for Standard 115.62.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Policy 00-02-301 Inmate Grievance Process

- Interviews with staff (random and specialized)
- Interview with PREA Compliance Managers
- Interview with the Warden
- Review the incident report and the Report of Investigation

Standard 115.63: Reporting to other confinement facilities

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.63 (a)

- Upon receiving an allegation that an inmate was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred? Yes No

115.63 (b)

- Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation? Yes No

115.63 (c)

- Does the agency document that it has provided such notification? Yes No

115.63 (d)

- Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115 addresses Standard 115.63.

Policy 02-01-115 mandates that: Upon receiving an allegation that an inmate was sexually abused while confined at another facility, the head of the facility that received the allegation notifies the head of the facility or appropriate office of the agency where the alleged abuse occurred. The Auditor interviewed the Warden

during the audit. The Warden detailed her responsibility under Standard 115.63. Further, the Warden explained if she received an allegation that an inmate was sexually abused at another facility, the notification process requires that she alert the head of the facility where the alleged abuse occurred within seventy-two (72) hours of receiving the allegation. The incident would be documented. In the past 12-month period, zero (0) allegations were received from inmates indicating that an incident of sexual abuse occurred while confined at another facility. The memorandum was dated, February 12, 2020. Correctional Industrial Facility met the requirements of Standard 115.63.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Internet search: Policy 03-02-103, The Reporting, Investigation and Disposition of Child Abuse and Neglect
- Interview with the PREA Compliance Manager
- Interview with the Warden
- Memorandum: Warden regarding zero allegations in the past 12 months that an inmate was sexually abuse while confined at another facility dated February 12, 2020
- Interview with the PREA Coordinator

Standard 115.64: Staff first responder duties

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.64 (a)

- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser?
 Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence? Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence? Yes No
- Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence? Yes No

115.64 (b)

- If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention, Policy 00-01-103, Investigations and Intelligence, A National Protocol for Sexual Assault Medical Forensic Examinations Adult/Adolescents 2nd ED., 4/2013 IDOC Sexual Assault Evidence Protocol and the Sexual Assault Prevention-Coordinated Response collectively address Standard 115.64.

Upon learning of an allegation that an inmate was sexually abused, the first security staff member to respond to the report is required to: Separate the alleged victim and abuser, preserve and protect any crime scene until appropriate steps can be taken to collect any evidence, request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating if the abuse occurred within a time that still allows for the collection of physical evidence.

The Auditor interviewed random and specialized staff regarding this standard. Each participant sampled detailed their role and responsibilities as outlined above. All staff sampled (100%) including non-security first responders confirmed a duty to protect the victim, preserve the crime scene, notify a supervisor, and document the incident. Problematic, the Auditor found one (1) incident where a first responder (non-security) failed to notify management any suspicion or allegation that an inmate was sexually abuse when he discussed his complaint in the clinic. Like the responder did not notify security. In the past 12 months, the number of allegations that an inmate was sexually abuse was twelve (12). CIF met the requirements of Standard 115.64.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
 - Policy 02-01-115, Sexual Abuse Prevention
 - Policy 00-01-103, Investigations, and Intelligence
 - Facility Directive 02-01-115, Sexual Prevention, dated June 18, 2016
- SEXUAL ABUSE PREVENTION
- Investigations and Intelligence, A National Protocol for Sexual Assault Medical Forensic Examinations Adult/Adolescents 2nd ED., 4/2013

- Sexual Assault Response Team Curriculum
 - First Responders Evidence protocol
 - SART Overview
 - SART Victim Advocacy
 - SART Dynamics and Trauma of Sexual Violence
 - First Responder Evidence Protocol Investigations
- Sexual Assault Prevention Directive
- Interviews with staff (random and specialized)

Corrective action:

As noted in 115.61, the nurse in question will undergo documented re-training and education regarding her duty to immediately report all allegations or suspicion of sexual abuse to the PREA Compliance Manager, shift supervisor or upper management. CIF will provide the Auditor with documented evidence of retraining for the nurse.

Standard 115.65: Coordinated response

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.65 (a)

- Has the facility developed a written institutional plan to coordinate actions among staff first responders, medical and mental health practitioners, investigators, and facility leadership taken in response to an incident of sexual abuse? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor’s analysis and reasoning, and the auditor’s conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

The facility has developed a written institutional plan to coordinate actions taken in response to an incident of sexual abuse among staff first responders, medical and mental health practitioners, investigators, and facility leadership. Correctional Industrial Facility Directive, 02-01-115, Sexual Prevention, dated June 18, 2016, establishes a procedure for the coordination of actions taken in response to an incident of sexual

assault, among staff first responders, medical and mental health practitioners, investigators, and facility executive staff.

Some staff have been SART trained. SART trained staff are responsible for ensuring that the victim and perpetrator are separated from each other and receive prompt medical attention. First responders will also gather the initial information regarding the sexual abuse and preserve the scene for the PREA Investigator.

The Warden indicated during her interview that each custody shift is mandated to establish a Sexual Assault Response Team (SART). Each custody shift has two (2) on-duty staff persons identified and trained as responders. The PREA Compliance Manager manages the SART Team at the facility level. Management at the facility level ensures an overall effective, and coordinated, response for victims of sexual assault.

According to the PREA Coordinator, all SART Team members participate in comprehensive coursework, to enhance reactionary response time and recovery of evidence in a sexual assault incident. SART members are also charged with meeting the needs of the victim with support; provide a comprehensive forensic exam for victims; provide a joint effective, sensitive approach to victims; document and preserve evidence for potential prosecution; conduct investigations of the crime from notification through prosecution. The CIF Coordinated Response Plan was reviewed by the Auditor. The Coordinated Response Plan supports Standard 115.65.

Individual interviews with the Warden, PREA Compliance Manager and the PREA Coordinator confirmed a detailed understanding of the role and responsibilities of SART and first responders including medical and mental health practitioners, investigators, and facility executive staff in the event of an incident of sexual assault. CIF met the requirements of Standard 115.65.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Abuse Prevention
- Policy 00-01-103, Investigations, and Intelligence
- Facility Directive 02-01-115, Sexual Prevention, dated June 18, 2016

- SEXUAL ABUSE PREVENTION

Investigations and Intelligence, A National Protocol for Sexual Assault Medical Forensic Examinations Adult/Adolescents 2nd ED., 4/2013

Sexual Assault Response Team Curriculum

- a. First Responders Evidence protocol
- b. SART Overview
- c. SART Victim Advocacy
- d. SART Dynamics and Trauma of Sexual Violence
- e. First Responder Evidence Protocol Investigations
- f. Interviews with staff (random and specialized)

- Interview with the PREA Compliance Manager
- Interview with Warden
- Interview with the PREA Coordinator

Standard 115.66: Preservation of ability to protect inmates from contact with abusers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.66 (a)

- Are both the agency and any other governmental entities responsible for collective bargaining on the agency's behalf prohibited from entering into or renewing any collective bargaining agreement or other agreement that limits the agency's ability to remove alleged staff sexual abusers from contact with any inmates pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted? Yes No

115.66 (b)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Indiana Department of Correction is not a collective bargaining agency; therefore, this standard is not applicable. CIF met the requirements of Standard 115.66.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager
- Interview with the Warden

Standard 115.67: Agency protection against retaliation

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.67 (a)

- Has the agency established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff? Yes No
- Has the agency designated which staff members or departments are charged with monitoring retaliation? Yes No

115.67 (b)

- Does the agency employ multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services, for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations? Yes No

115.67 (c)

- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Act promptly to remedy any such retaliation? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor any inmate disciplinary reports? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate housing changes? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate program changes? Yes No
- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff? Yes No

- Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff? Yes No
- Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need? Yes No

115.67 (d)

- In the case of inmates, does such monitoring also include periodic status checks? Yes No

115.67 (e)

- If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation? Yes No

115.67 (f)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115 Sexual Abuse Prevention and Policy 00-01-103, Investigations, and Intelligence collectively address the requirements of Standard 115.67.

The agency has established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff.

Policy 00-01-103, Investigations, and Intelligence requires the Office of Investigation and Intelligence to ensure the protection of inmates and staff who have reported sexual abuse or sexual harassment or who have cooperated in a sexual abuse or sexual harassment investigation.

The agency has designated which staff members or departments are charged with monitoring retaliation. Specifically, at CIF, the PREA Compliance Manager facilitates the monitoring of all inmate for signs of retaliation. The Auditor interviewed the facilitator for retaliation monitor/PREA Committee (chair)/PREA Compliance Manager. She explained her role as the PREA facilitator for retaliation monitoring at CIF. In detail the facilitator gave examples of protection measures she would employ such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services, for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.

The Auditor examined IDOC, PREA Retaliation Monitoring forms which included monitoring efforts that occurred in the last 12-month period. Inmates being monitored were reviewed face-to-face and as necessary at 15, 30, 45, 60, 75 and 90-day intervals. Likewise, the Auditor determine that the facility would utilize a similar process to monitor staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations and document the interactions. Retaliation monitoring is also reviewed by the facility PREA Committee.

More, except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse the facility would monitor: The conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff, monitor disciplinary reports, act promptly to remedy any such retaliation occurring.

During her interview the Warden indicated that CIF employs multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmates abusers from contact with victims, and emotional support services, for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Sample: PREA Retaliation Monitoring Form
- Interview with the PREA Compliance Manager/Retaliation Monitor
- Interview with the Warden

Standard 115.68: Post-allegation protective custody

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.68 (a)

- Is any and all use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse subject to the requirements of § 115.43? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

Meets Standard (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)

Does Not Meet Standard (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-107 Use and Operation of Protective Custody and Policy 02-01-115, Sexual Abuse Prevention, address the requirements of Standard 115.68 and 115.43.

The PREA Compliance Manager confirmed for the Auditor that all PREA related use of segregated housing was to protect an inmate who alleged to have suffered sexual abuse was subject to the requirements of § 115.43. The Auditor confirmed through interviews with the Warden and the PCM individually that the number of inmates that alleged sexual abuse in the past 12 months, post allegation protective custody remained one (1) since the submission of the PAQ. Correctional Industrial Facility met Standard 115.68

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-107 (The Use and Operation of Protective Custody)
- Interview with the Warden
- Interview with the PREA Compliance Manager
- Interview with the PREA Coordinator

INVESTIGATIONS

Standard 115.71: Criminal and administrative agency investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.71 (a)

- When the agency conducts its own investigations into allegations of sexual abuse and sexual harassment, does it do so promptly, thoroughly, and objectively? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).] Yes No NA

- Does the agency conduct such investigations for all allegations, including third party and anonymous reports? [N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).] Yes No NA

115.71 (b)

- Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.34? Yes No

115.71 (c)

- Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data? Yes No
- Do investigators interview alleged victims, suspected perpetrators, and witnesses?
 Yes No
- Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator? Yes No

115.71 (d)

- When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution? Yes No

115.71 (e)

- Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmate or staff? Yes No
- Does the agency investigate allegations of sexual abuse without requiring an inmate who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding? Yes No

115.71 (f)

- Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse? Yes No
- Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings? Yes No

115.71 (g)

- Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible? Yes No

115.71 (h)

- Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?
 Yes No

115.71 (i)

- Does the agency retain all written reports referenced in 115.71(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years? Yes No

115.71 (j)

- Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation?
 Yes No

115.71 (k)

- Auditor is not required to audit this provision.

115.71 (l)

- When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? (N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.21(a).) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Abuse Prevention and Policy 00-01-103, Investigation, and Intelligence collectively address the requirements of Standard 115.71.

The Auditor determined by examination that IDOC administrative and criminal investigations were documented, and the appropriate investigations was forwarded to the prosecutor when applicable.

IDOC uses investigators who have received specialized training in sexual abuse investigations involving adult victims as required by 115.34.

The investigator interviewed confirmed that in his role as an investigator he gathers and preserves direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data, interviews alleged victims, suspected perpetrators, and witnesses, and reviews prior reports and complaints of sexual abuse involving the suspected perpetrator. Furthermore, the same investigator confirmed that as an investigator for IDOC he refrains from terminating an investigation solely because the source of the allegation recants the allegation. When the quality of evidence appears to support criminal prosecution, IDOC would conduct compelled interviews only in conjunction with local prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution.

Policy 00-01-103, Investigations, and Intelligence further requires staff members to cooperate with all investigations. There were unfounded inmates-on-inmates allegation of sexual abuse during this reporting period. The sexual abuse report contained a thorough description of the physical, testimonial, and documentary evidence and attached copies of all documentary evidence where feasible. More, the investigator explained that if the quality of evidence appears to support criminal prosecution, the agency would conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution. The investigation was examined by the Auditor. Based on a review of the investigation the Auditor determined that the investigator assessed the credibility of the alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmates or staff and without requiring a inmates who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding. The Auditor also determined that included in the administrative investigative report was an effort on behalf of the investigator to determine whether staff actions or failures to act contributed to the abuse. The Incident Review Committee acted on the recommendation of the investigator and modified the ability of inmates to sit in a blind spot undetectable to authorities. In addition, the facility repositioned cameras to enhance the visibility in living unit where the incident took place. CIF met the requirements of Standard 115.71.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 00-01-103, Investigations, and Intelligence
- Policy 02-01-115, Sexual Abuse Prevention
- Interview with investigators
- Interview with the PREA Compliance Manager
- Review of the investigation

Standard 115.72: Evidentiary standard for administrative investigations

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.72 (a)

- Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 00-01-103, Investigations, and Intelligence and 03-02-10, Policy and Administrative Procedure, addresses Standard 115.72.

"The Department of Correction shall establish an Office of Investigations and Intelligence (OII) that shall be responsible for conducting investigations of alleged misconduct by staff and offenders/youths and assisting in maintaining safety and security in the Department's facilities."

The agency has established the standard for substantiation of an investigative incident of sexual abuse or sexual harassment as preponderance of evidence. According to the agency PREA Investigator who was interviewed during the audit process, when evidence supports criminal prosecution, the agency consults with the prosecutor prior to moving forward in the investigative process and conducting compelled interviews. Likewise, the same investigator confirmed that the standard threshold for evidence when determining whether allegations are substantiated is preponderance of evidence. During an interview with an. CIF met the requirements of Standard 115.72.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 00-01-103, Investigation, and Intelligence
- Policy 03-02-10, Policy and Administrative Procedure
- Interview with the PREA Compliance Manager
- Interview with the PREA Investigator
- Interview with the PREA Coordinator

Standard 115.73: Reporting to inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.73 (a)

- Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded? Yes No

115.73 (b)

- If the agency did not conduct the investigation into an inmate's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency in order to inform the inmate? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.) Yes No NA

115.73 (c)

- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The staff member is no longer posted within the inmate's unit? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The staff member is no longer employed at the facility? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The agency learns that the staff member has been indicted on a charge related to sexual abuse in the facility? Yes No
- Following an inmate's allegation that a staff member has committed sexual abuse against the inmate, unless the agency has determined that the allegation is unfounded, or unless the inmate has been released from custody, does the agency subsequently inform the inmate whenever: The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility? Yes No

115.73 (d)

- Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility? Yes No
- Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility? Yes No

115.73 (e)

- Does the agency document all such notifications or attempted notifications? Yes No

115.73 (f)

- Auditor is not required to audit this provision.

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 00-01-103, Investigations, and Intelligence and 03-02-10, Policy and Administrative Procedure, addresses Standard 115.72.

"The Department of Correction shall establish an Office of Investigations and Intelligence (OII) that shall be responsible for conducting investigations of alleged misconduct by staff and offenders/youths and assisting in maintaining safety and security in the Department's facilities."

Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, The Auditor determined by examination that the agency informed the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded.

All said notifications were documented by the facility. There were twelve (12) investigation into allegation of sexual abuse and harassment. The inmates received the required notification as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. The allegation involved inmates - on-inmates sexual abuse behavior. CIF met the requirements of Standard 115.73.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire PREA Audit Report
- Review of investigation files
- Interview with the PREA Compliance Manager
- PREA Inmate Notifications

DISCIPLINE

Standard 115.76: Disciplinary sanctions for staff

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.76 (a)

- Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies? Yes No

115.76 (b)

- Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse? Yes No

115.76 (c)

- Are disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) commensurate with the nature and circumstances of the acts committed, the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories? Yes No

115.76 (d)

- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Law enforcement agencies (unless the activity was clearly not criminal)? Yes No
- Are all terminations for violations of agency sexual abuse or sexual harassment policies, or resignations by staff who would have been terminated if not for their resignation, reported to: Relevant licensing bodies? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115 Sexual Abuse Prevention, Policy 00-01-103 Investigations and Intelligence, and Policy 04-03-103 Information and Standards of Conduct for Departmental Staff collectively address and outline the agency's disciplinary response related to violations of PREA policies by staff. Specifically, disciplinary sanctions for staff may include sanctions up to termination.

The agency defines misconduct as:

Behavior by a staff person which violates a standard, rule, regulation, policy, procedure, directive, written or verbal order, agreement, responsibility, performance expectation, or condition of employment of the State and/or the Department.

The agency defines staff person as:

STAFF OR STAFF PERSON: All persons employed by the Department, including contractors and volunteers.

Policy 04-03-103 Information and Standards of Conduct for Departmental Staff, specifically states;

A staff person who violates a State and/or Department standard, rule, regulation, policy, procedure, directive, written or verbal order, agreement, responsibility, or condition of employment may be subject to disciplinary action, up to and including dismissal, in accordance with IC 4-15-2.2-24 which states, "An employee in the unclassified service is an employee at will and serves at the pleasure of the employee's appointing authority, and may be dismissed, demoted, disciplined, or transferred for any reason that does not contravene public policy." Dismissal shall be the presumptive disciplinary sanction for a staff person that violates the Department's sexual abuse or sexual harassment policies.

During the audit process and an interview with the HR representative the Auditor confirmed that staff terminated for violations of the State, agency sexual abuse or sexual harassment policies, would be reported to the relevant licensing bodies and law enforcement agencies (unless the activity or behavior was clearly not criminal). More, formal terminations and presumptive terminations by staff who would have been terminated if not for their resignation, would also be reported to law enforcement (unless the activity was clearly not criminal).

The examination of evidence related to this standard was reviewed by the Auditor. An investigation involving an incident with an inmate identify as John Doe (JD1) #1 was reviewed by the Auditor. JD1 alleges that a CIF (contractor) staff person pulled her pants down and suggested that the inmate "kiss her ass." The contractor admitted only to telling the inmate to "kiss her ass."

The incident was unsubstantiated yet general information regarding any disciplinary action taken by CIF/Aramark for misconduct was omitted in the body of evidence provided to the Auditor. On 9/30/2020, the PREA Compliance Manager provided the Auditor with evidence that the contractor was terminated from employment by the Aramark on 11/19/2019.

The Warden confirmed for the Auditor that any disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) would be proportionate with the nature and circumstances of the acts committed considering the staff member's disciplinary history, and the sanctions imposed for comparable offenses by other staff with similar histories. In the past 12 months, The PAQ indicated that zero (0) staff were terminated for violating the

facility's PREA policies. The PAQ was revised to one (1) staff was terminated in the past 12-month period, the Aramark employee. CIF met the requirements for Standard 115.76.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 Sexual Abuse Prevention
- Policy 00-01-103 Investigations and Intelligence
- Policy 04-03-103 Information and Standards of Conduct for Departmental Staff
- Internet search: Indiana Code (IC) 4-15-2.2-24, Unclassified service; at will employee
- Interview with the PREA Coordinator
- Interview with PREA Compliance Managers
- Interview with the Warden
- Interview with the Human Resource (HR) representative
- Sample: Sexual Abuse Incident Reviews
- Inspector General's website: Code of Ethics, <http://www.in.gov/ig/2236.htm>.
- Reviewed: The disciplinary outcome on a contractor (Aramark)

Standard 115.77: Corrective action for contractors and volunteers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.77 (a)

- Is any contractor or volunteer who engages in sexual abuse prohibited from contact with inmates? Yes No
- Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies (unless the activity was clearly not criminal)? Yes No
- Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies? Yes No

115.77 (b)

- In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with inmates? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115 Sexual Abuse Prevention, Policy 04-03-102, Human Resources, Policy 00-01-103 Investigations and Intelligence, and Policy 04-03-103 Information and Standards of Conduct for Departmental Staff collectively address and outline the agency's disciplinary response related to violations of PREA policies by staff. Specifically, disciplinary sanctions for staff may include sanctions up to termination.

The agency defines misconduct as:

“Behavior by a staff person which violates a standard, rule, regulation, policy, procedure, directive, written or verbal order, agreement, responsibility, performance expectation, or condition of employment of the State and/or the Department.”

Policy 04-03-103 Information and Standards of Conduct for Departmental Staff, specifically states;

“A staff person who violates a State and/or Department standard, rule, regulation, policy, procedure, directive, written or verbal order, agreement, responsibility, or condition of employment may be subject to disciplinary action, up to and including dismissal, in accordance with IC 4-15-2.2-24 which states, “An employee in the unclassified service is an employee at will and serves at the pleasure of the employee's appointing authority, and may be dismissed, demoted, disciplined, or transferred for any reason that does not contravene public policy.” Dismissal shall be the presumptive disciplinary sanction for a staff person that violates the Department's sexual abuse or sexual harassment policies.”

Policy 04-03-102, Human Resources defines staff as: Any person(s) performing work on behalf of the Department, including contractors and volunteers.

states that any contractor or volunteer engaging in sexual abuse of inmates will be subject to referral to local law enforcement. The policy further requires that the contractor or volunteer be prohibited from having contact with inmates. Correctional Industrial Facility met the requirements of Standard 115.77.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 Sexual Abuse Prevention
- Policy 04-03-102, Human Resources
- Policy 00-01-103 Investigations and Intelligence
- Policy 04-03-103 Information and Standards of Conduct for Departmental Staff
- Interview with the PREA Compliance Manager
- Internet search: Indiana Code (IC) 4-15-2.2-24, Unclassified service; at will employee
- Inspector General's website: Code of Ethics, <http://www.in.gov/ig/2236.htm>

Standard 115.78: Disciplinary sanctions for inmates

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.78 (a)

- Following an administrative finding that an inmate engaged in inmate-on-inmate sexual abuse, or following a criminal finding of guilt for inmate-on-inmate sexual abuse, are inmates subject to disciplinary sanctions pursuant to a formal disciplinary process? Yes No

115.78 (b)

- Are sanctions commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories? Yes No

115.78 (c)

- When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether an inmate's mental disabilities or mental illness contributed to his or her behavior? Yes No

115.78 (d)

- If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming and other benefits? Yes No

115.78 (e)

- Does the agency discipline an inmate for sexual contact with staff only upon a finding that the staff member did not consent to such contact? Yes No

115.78 (f)

- For the purpose of disciplinary action does a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation? Yes No

115.78 (g)

- If the agency prohibits all sexual activity between inmates, does the agency always refrain from considering non-coercive sexual activity between inmates to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between inmates.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)

- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-04-101 Disciplinary Code for Adult Offenders address Standard 115.78.

Policy 02-04-101 Disciplinary Code for Adult Offenders states that sexual contact between persons that include touching of the intimate parts of one person to any part of another whether clothed or unclothed is prohibited and subject to disciplinary sanctions following an administrative finding or a criminal investigation that an inmate engaged in inmate-on-inmate sexual abusive behavior and sanctions shall be commensurate with the nature and circumstances of the sexual abuse, the inmates disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories.

More, the Warden indicated during her interview that if a PREA related incident results in a disciplinary sanction, discipline would be commensurate with the nature and circumstances and scope of the abuse committed, the inmate's disciplinary history, the sanctions imposed for comparable offenses by other inmates with similar histories and take into account whether an inmate's mental disabilities or mental illness contributed to his behavior. The Auditor reviewed two examples of inmate-on-inmate sexual contact.

The facility tour included a cell-by-cell tour of segregation. Inmates housed in segregation confirmed rounds were conducted on a consistent basis by medical and mental health practitioners.

For the purpose of disciplinary action, a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred NOT constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation according to the Warden.

Specialized staff interviewed (mental health providers) affirmed during individual interviews that CIF offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for sexually abusive behavior and the facility offers the offending inmates or inmates with sexually abusive histories voluntary participation in therapeutic interventions. CIF does not impose participation in such interventions as a condition to access any rewards-based behavior management system or other behavior-based incentives. Furthermore, CIF, refrains from requiring such participation as a condition to accessing general programming or education according to the mental health provider interviewed during the on-site portion of the audit. CIF met the requirements of Standard 115.78.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 03-02-101
- Inmate handbook

- Interview with the PREA Compliance Managers
- Interview with the Warden
- Sample: Conduct report
- Interview with an investigator
- CIF inmates in segregation
- Interview with staff (specialized)
- Interview with staff

MEDICAL AND MENTAL CARE

Standard 115.81: Medical and mental health screenings; history of sexual abuse

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.81 (a)

- If the screening pursuant to § 115.41 indicates that a prison inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.)
 Yes No NA

115.81 (b)

- If the screening pursuant to § 115.41 indicates that a prison inmate has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.) Yes No NA

115.81 (c)

- If the screening pursuant to § 115.41 indicates that a jail inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? Yes No

115.81 (d)

- Is any information related to sexual victimization or abusiveness that occurred in an institutional setting strictly limited to medical and mental health practitioners and other staff as necessary to inform treatment plans and security management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law?
 Yes No

115.81 (e)

- Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institutional setting unless the inmate is under the age of 18? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Assault Prevention and the IDOC Sexual Assault Manual dated January 15, 2014 addresses this standard. Policy 02-01-115, Sexual Assault Prevention indicated the inmate with a history of victimization and inmates with a history of sexually abusive behaviors' are evaluated by a medical or mental health practitioner as outlined in the Sexual Assault Manual, dated January 15, 2014, Pursuant to § 115.41, whether the incident occurred in an institutional setting or in the community. CIF does not house inmates under the age of 18 years old in the facility.

CIF intake staff interviewed indicated that referrals are made to mental health when an inmate is transferred or assigned to the facility with a history of victimization or abusiveness. The Auditor interviewed mental health staff at the facility to confirm that inmates are offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening. The Auditor reviewed seventeen (17) medical documents to confirm that inmates with a history of prior victimization or abusiveness were triaged by mental health and offered follow-up services.

The Auditor examined seventeen (17) samples of documents that support that inmates with a history of victimization or abusiveness were offered follow-up care whether the trauma occurred in an institutional setting or in the community. Specialized staff (medical and mental health practitioners) sampled confirmed during individual interviews that inmates who are victims of alleged sexual assaults are offered tests for sexually transmitted infections.

Inmates that disclosed prior sexual victimization or who disclose previously perpetrating sexual abuse during an intake screening will be offered a follow-up meeting with a medical or mental health practitioner within fourteen (14) days of the intake screening. Medical staff interviewed during the audit confirmed that informed consent was required from the inmate before reporting information about prior sexual victimization that did not occur in an institutional setting.

Staff (random and specialized) confirmed compliance with this policy. In the past 12 months, 100% of inmates reviewed who disclosed a history of sexual victimization or abusiveness were screened and offered

a follow-up meeting with a mental health practitioner in compliance with Standard 115.81. After corrective action, CIF met the requirements of Standard 115.81.

Policy, Materials, Interviews and Other Evidence Reviewed:

- Pre-Audit Questionnaire
- Policy 02-01-115, Sexual Assault Prevention
- Inmate handbook
- Inmate Information System
- Review of intake documentation
- Sexual Violence Assessment Tool (SVAT)
- Sample: PREA Duty to Report, Medical and Mental Health form
- Sample: SVAT's
- Interviews with specialized staff (medical and mental health practitioners)
- Interview with the PREA Compliance Manager

Standard 115.82: Access to emergency medical and mental health services

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.82 (a)

- Do inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment?
 Yes No

115.82 (b)

- If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.62? Yes No
- Do security staff first responders immediately notify the appropriate medical and mental health practitioners? Yes No

115.82 (c)

- Are inmate victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate? Yes No

115.82 (d)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident?
 Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Assault Prevention and the IDOC Sexual Assault Manual dated January 15, 2014 address Standard 115.82

The agency and CIF by extension requires timely and unimpeded access to emergency medical treatment, crisis intervention services and victim advocacy services. The Auditor sampled specialized staff during the audit to determine their understanding of their role and responsibility under this standard. Specialized medical staff sampled during the audit confirmed that CIF offers inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services. Furthermore, the same practitioner confirmed that the nature and scope of service provided are based purely according to their professional judgment.

The Auditor also examined a sexual victimization incident which occurred in the past 12 months. The Auditor determined that upon learning of the sexual assault, CIF security staff first responders immediately activated a coordinated response to the incident. The victim was taken to St. Vincent Hospital for an examination by a SANE Examiner, the collection of clothing and DNA evidence. The inmate was not charged for the forensic examination. In the past 12 months, CIF met the requirements of Standard 115.82.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 (Sexual Assault Prevention)
- Inmates handbook
- Interview with specialized staff (medical practitioner)
- Interview with the PREA Compliance Manager
- Interview with the PREA Coordinator
- Sample: reviewed SANE services provided to an inmate in 2019

Standard 115.83: Ongoing medical and mental health care for sexual abuse victims and abusers

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.83 (a)

- Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility? Yes No

115.83 (b)

- Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody? Yes No

115.83 (c)

- Does the facility provide such victims with medical and mental health services consistent with the community level of care? Yes No

115.83 (d)

- Are inmate victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if “all-male” facility. *Note: in “all-male” facilities, there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.*) Yes No NA

115.83 (e)

- If pregnancy results from the conduct described in paragraph § 115.83(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if “all-male” facility. *Note: in “all-male” facilities, there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.*) Yes No NA

115.83 (f)

- Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate? Yes No

115.83 (g)

- Are treatment services provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident? Yes No

115.83 (h)

- If the facility is a prison, does it attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment

when deemed appropriate by mental health practitioners? (NA if the facility is a jail.)

Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Assault Prevention and the IDOC Sexual Assault Manual dated January 15, 2014 address Standard 115.83

Policy 02-01-115 and IDOC Sexual Assault Manual mandates IDOC facilities provide victims with medical and mental health services equivalent to the level of care found in the community. Policy 02-01-115 and IDOC Sexual Assault Manual also mandates appropriate tests be provided to the inmate victim as determined by medical and mental health practitioners. Furthermore, if a sexual victimization occurs in an institutional setting, the inmate victim of sexual abuse would be offered tests for sexually transmitted infections as medically indicated. Policy 02-01-115 requires that CIF attempt to obtain a mental health evaluation within 60 days of learning of inmate-on-inmate with a history of abusiveness and offer treatment to address the underlying reason for the behavior. Individual interviews with a sample of medical and mental health practitioners confirmed their understanding of their role and responsibility under Standard 115.83.

The PREA Compliance Manager and Warden confirmed during individual interviews with the Auditor that medical services by policy are provided to the victim of a sexual assault at no financial cost.

Indiana Code (IC) 11-10-3-5, Co-payment requirements; exceptions. IC 11-10-3-5 outlines circumstances when an inmate is not required to pay for medical services such as (1) the service is provided in an emergency; (2) the service is provided as a result of an injury received in the correctional facility; or (3) the service is provided at the request of the administrator of a correctional facility. The agency offers all inmates who experience sexual abuse access to forensic medical examinations on-site, without financial cost, where evidentiary or medically appropriate.

The PREA Compliance Manager confirmed that the victim is not required to provide the agency with the name or names of the abuser nor cooperate with any investigation resulting from the incident. After corrective action, CIF met the requirements of Standard 115.83.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Policy 02-01-115 (Sexual Assault Prevention)
- Inmates handbook
- Interview with specialized staff (medical practitioner)
- Interview with the PREA Compliance Manager
- Interview with the PREA Coordinator
- Interview with the Warden
- Sample: reviewed SANE services provided to an inmate in 2019

DATA COLLECTION AND REVIEW

Standard 115.86: Sexual abuse incident reviews

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.86 (a)

- Does the facility conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded? Yes No

115.86 (b)

- Does such review ordinarily occur within 30 days of the conclusion of the investigation? Yes No

115.86 (c)

- Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners? Yes No

115.86 (d)

- Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse? Yes No
- Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility? Yes No
- Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse? Yes No
- Does the review team: Assess the adequacy of staffing levels in that area during different shifts? Yes No

- Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff? Yes No
- Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.86(d)(1) - (d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager? Yes No

115.86 (e)

- Does the facility implement the recommendations for improvement, or document its reasons for not doing so? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Assault Prevention address this standard.

The facility PREA Committee is mandated by policy to complete a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded. Such review shall ordinarily occur within thirty (30) days of the conclusion of the investigation. The review by the facility PREA Committee shall:

1. Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse;
2. Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; or gang affiliation; or was motivated or otherwise caused by other group dynamics at the facility;
3. Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse;
4. Assess the adequacy of staffing levels in that area during different shifts;

5. Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff;

6. Prepare a report of its findings and any recommendations for improvement and submit the report to the Superintendent and Executive Director of PREA; and,

7. The facility shall implement the recommendations for improvement or document its reasons for not doing so.

CIF conducts a sexual abuse incident review at the conclusion of every sexual abuse investigation that are either substantiated or unsubstantiated unless the allegation has been determined to be unfounded. The minutes from the CIF Incident Review Team meeting confirms that CIF utilizes a multi-disciplinary approach team to complete sexual abuse incident reviews. The incident review team/PREA Committee: Considered whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse.

By examination the Auditor determined that the review team: Considered whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility.

More, the review team examines the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse and made recommendations to the Warden. Inclusive in the investigative report was the review team's: assessment of the adequacy of staffing levels during the incident and the assessment of whether monitoring technology should be deployed or augmented to supplement supervision by staff.

Interviews with CIF PREA Committee Members revealed that they understand the purpose of the incident review team and the process. CIF met the requirements of Standard 115.86.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Review of investigative sexual abuse reports in the past 12-month period
- Interview with Sexual Abuse Incident Review Team Member
- Interview with the PREA Compliance Manager
- Review of facility PREA Committee Meetings Minutes (2019-2020)

Standard 115.87: Data collection

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.87 (a)

- Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions? Yes No

115.87 (b)

- Does the agency aggregate the incident-based sexual abuse data at least annually?
 Yes No

115.87 (c)

- Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice? Yes No

115.87 (d)

- Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews?
 Yes No

115.87 (e)

- Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates? (N/A if agency does not contract for the confinement of its inmates.) Yes No NA

115.87 (f)

- Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.)
 Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Indiana Department of Corrections uses a standardized instrument with definitions to collect accurate, uniform data for every allegation of sexual assault. The instrument includes the data necessary to answer all questions from the most recent version of the Survey of Sexual Victimization, State Prison System Summary Form supplied by the Department of Justice. A review of the annual report revealed it was completed according to this standard. CIF met the requirements of Standard 115.87.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Interview with the PREA Coordinator
- Interview with Warden
- IDOC Sexual Incident Report Data (2019)
- 02-11-115 Sexual Assault Prevention
- Survey of Sexual Victimization 2017, State Prison System Summary Form
- Survey of Sexual Victimization 2018, State Prison System Summary Form
- 2017 Sexual Assault Prevention Program Annual Report
- 2018 Sexual Assault Prevention Program Annual Report, dated 4/12/2019

Standard 115.88: Data review for corrective action

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.88 (a)

- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas? Yes No
- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis? Yes No
- Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Preparing an annual report of its findings and corrective actions for each facility, as well as the agency as a whole? Yes No

115.88 (b)

- Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse Yes No

115.88 (c)

- Is the agency's annual report approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means? Yes No

115.88 (d)

- Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

Policy 02-01-115, Sexual Assault Prevention, mandates that facilities conduct an annual review of data collected and aggregated by the facility.

The PREA Compliance Manager confirmed that she reviews the collected and aggregated data to assess and improve the effectiveness of the PREA related efforts and initiatives. A review of the agency Sexual Assault Prevention Program Annual Reports confirms this practice. The evaluation includes a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the facility's progress in addressing the sexual abuse program and approved procedural changes are made at the facility based upon this evaluation. The facility's annual report must be approved by the PREA Coordinator and made readily available to the public through the department's public website.

The PREA Coordinator in his role confirmed that the agency reviews data collected pursuant to 115.87 and assesses the effectiveness of the sexual abuse prevention, detection, and response policies, practices, and training. The agency prepares an annual report and posts the information on the website. He further indicated that the only information redacted from the agency report is personal identifying information (PII). All other information is included in the annual report.

The IDOC compiles annual reports received from each facility and posts them on the departmental website for public access. This report is signed by the Commissioner of the Indiana Department of Corrections. This report is posted on the IDOC website. A copy of the report from CIF was made available to Auditor. CIF met the requirements of Standard 115.88.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- SIR Data Report
- Survey of Sexual Violence 2017
- Survey of Sexual Violence 2018
- 2017 Sexual Assault Prevention Program Annual Report
- 2018 Sexual Assault Prevention Program Annual Report
- 02-11-115 Sexual Assault Prevention
- Interview with the Warden

- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager

Standard 115.89: Data storage, publication, and destruction

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.89 (a)

- Does the agency ensure that data collected pursuant to § 115.87 are securely retained?
 Yes No

115.89 (b)

- Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means? Yes No

115.89 (c)

- Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available? Yes No

115.89 (d)

- Does the agency maintain sexual abuse data collected pursuant to § 115.87 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

The standard requires that data be collected and securely retained for 10 years unless applicable laws require otherwise. The aggregated PREA data is reviewed, and all personal identifiers are removed according to the PREA Coordinator. A review of documentation confirmed the practice. CIF met the requirements of Standard 115.86.

Evidence relied upon to make Auditor determination:

- Pre-Audit Questionnaire
- Survey of Sexual Violence 2017
- Survey of Sexual Violence 2018
- 2017 Sexual Assault Prevention Program Annual Report
- 2018 Sexual Assault Prevention Program Annual Report
- Interview with the Warden
- Interview with the PREA Coordinator
- Interview with the PREA Compliance Manager

AUDITING AND CORRECTIVE ACTION

Standard 115.401: Frequency and scope of audits

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.401 (a)

- During the prior three-year audit period, did the agency ensure that each facility operated by the agency, or by a private organization on behalf of the agency, was audited at least once? (*Note: The response here is purely informational. A "no" response does not impact overall compliance with this standard.*) Yes No

115.401 (b)

- Is this the first year of the current audit cycle? (*Note: a "no" response does not impact overall compliance with this standard.*) Yes No
- If this is the second year of the current audit cycle, did the agency ensure that at least one-third of each facility type operated by the agency, or by a private organization on behalf of the agency, was audited during the first year of the current audit cycle? (N/A if this is **not** the *second* year of the current audit cycle.) Yes No NA
- If this is the third year of the current audit cycle, did the agency ensure that at least two-thirds of each facility type operated by the agency, or by a private organization on behalf of the agency, were audited during the first two years of the current audit cycle? (N/A if this is **not** the *third* year of the current audit cycle.) Yes No NA

115.401 (h)

- Did the auditor have access to, and the ability to observe, all areas of the audited facility?
 Yes No

115.401 (i)

- Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)? Yes No

115.401 (m)

- Was the auditor permitted to conduct private interviews with inmates, inmates, and detainees?
 Yes No

115.401 (n)

- Were inmates permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel? Yes No

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

During the tour of the facility the Auditor noted that notice of the upcoming audit was posted throughout the facility. The facility also provided electronic verification of the posting. The facility has provided inmates with information about the PREA audit at least six weeks prior to the site visit and demonstrated based on their institutional and clinical files that PREA education has been a continued practice.

All IDOC facilities were audited during the same time frame to meet the required deadline of one (1) audit within three (3) years. A review was conducted on information provided to inmates regarding the confidential nature of any correspondence and communication with the Auditor.

Furthermore, The Auditor examined the IDOC 2019 Sexual Assault Prevention Program Annual Report. The PREA Coordinator during his interview outlined steps taken in 2019 by the IDOC to enhance and improve compliance with the Prison Rape Elimination Act (PREA) such as:

- The IDOC contracted the Moss Group for a project to improve the IDOC's sexual abuse investigations. The project included a review of current investigations, providing sexual abuse investigations training to agency Investigators and facility PREA Compliance.

In 2019, the Indiana Department of Correction continued to make improvements in policy and practice to meet PREA standards. Training was provided to agency investigators tasked with sexual abuse investigations to ensure thorough investigations are being conducted and documented.

- The agency continues to improve video monitoring technology statewide.

CIF met the requirements of Standard 115.401.

Evidence relied upon to make Auditor determination:

- IDOC website
- Interview with staff (random and specialized) and inmates (random and targeted)
- Interview with the PREA Coordinator
- Interview with the Warden
- Interview with the PREA Compliance Manager

Standard 115.403: Audit contents and findings

All Yes/No Questions Must Be Answered by the Auditor to Complete the Report

115.403 (f)

- The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports. The review period is for prior audits completed during the past three years PRECEDING THIS AUDIT. The pendency of any agency appeal pursuant to 28 C.F.R. § 115.405 does not excuse noncompliance with this provision. (N/A if there have been no Final Audit Reports issued in the past three years, or in the case of single facility agencies that there has never been a Final Audit Report issued.) Yes No NA

Auditor Overall Compliance Determination

- Exceeds Standard** (*Substantially exceeds requirement of standards*)
- Meets Standard** (*Substantial compliance; complies in all material ways with the standard for the relevant review period*)
- Does Not Meet Standard** (*Requires Corrective Action*)

Instructions for Overall Compliance Determination Narrative

The narrative below must include a comprehensive discussion of all the evidence relied upon in making the compliance or non-compliance determination, the auditor's analysis and reasoning, and the auditor's

conclusions. This discussion must also include corrective action recommendations where the facility does not meet the standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.

All IDOC facilities were audited prior to the end of the first audit cycle which ended August 19, 2016, all final audit reports are properly, publicly posted on the agency website. CIF met the requirements of Standard 115.403.

Evidence relied upon to make Auditor determination:

- IDOC website
- IDOC PREA audits posted on the website
- Interview with the Warden
- Interview with the PREA Coordinator

AUDITOR CERTIFICATION

I certify that:

- The contents of this report are accurate to the best of my knowledge.
- No conflict of interest exists with respect to my ability to conduct an audit of the agency under review, and
- I have not included in the final report any personally identifiable information (PII) about any inmate or staff member, except where the names of administrative personnel are specifically requested in the report template.

Auditor Instructions:

Type your full name in the text box below for Auditor Signature. This will function as your official electronic signature. Auditors must deliver their final report to the PREA Resource Center as a searchable PDF format to ensure accessibility to people with disabilities. Save this report document into a PDF format prior to submission.¹ Auditors are not permitted to submit audit reports that have been scanned.² See the PREA Auditor Handbook for a full discussion of audit report formatting requirements.

Sonya Love

11/20/20

Auditor Signature

Date

¹ See additional instructions here: <https://support.office.com/en-us/article/Save-or-convert-to-PDF-d85416c5-7d77-4fd6-a216-6f4bf7c7c110>.

² See *PREA Auditor Handbook*, Version 1.0, August 2017; Pages 68-69.